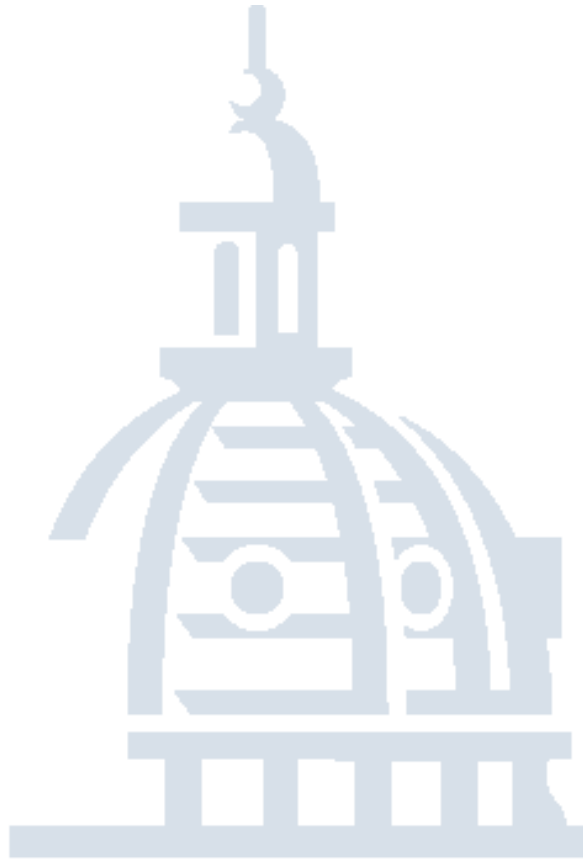

**ECONOMIC DEVELOPMENT
APPROPRIATIONS SUBCOMMITTEE
DETAILED ANALYSIS OF THE
FY 2013 GOVERNOR'S RECOMMENDATIONS**



FISCAL SERVICES DIVISION

JANUARY 2012



**LEGISLATIVE
SERVICES AGENCY**

Serving the Iowa Legislature

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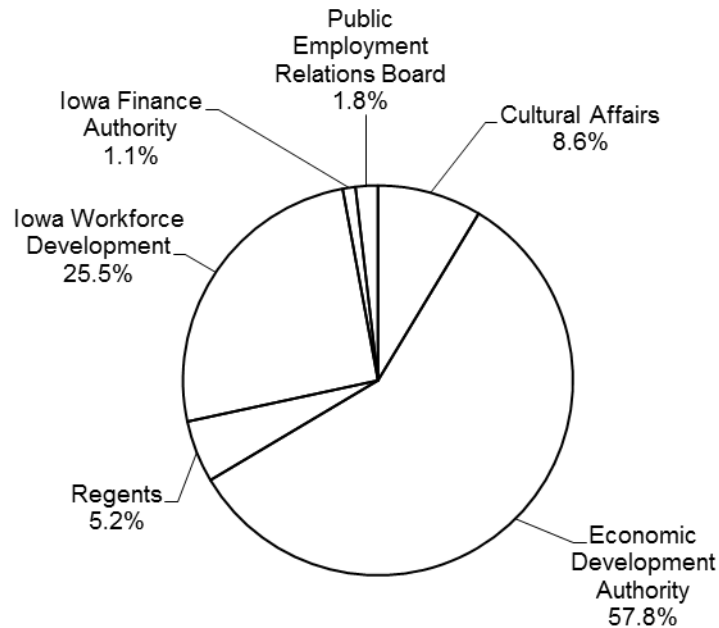
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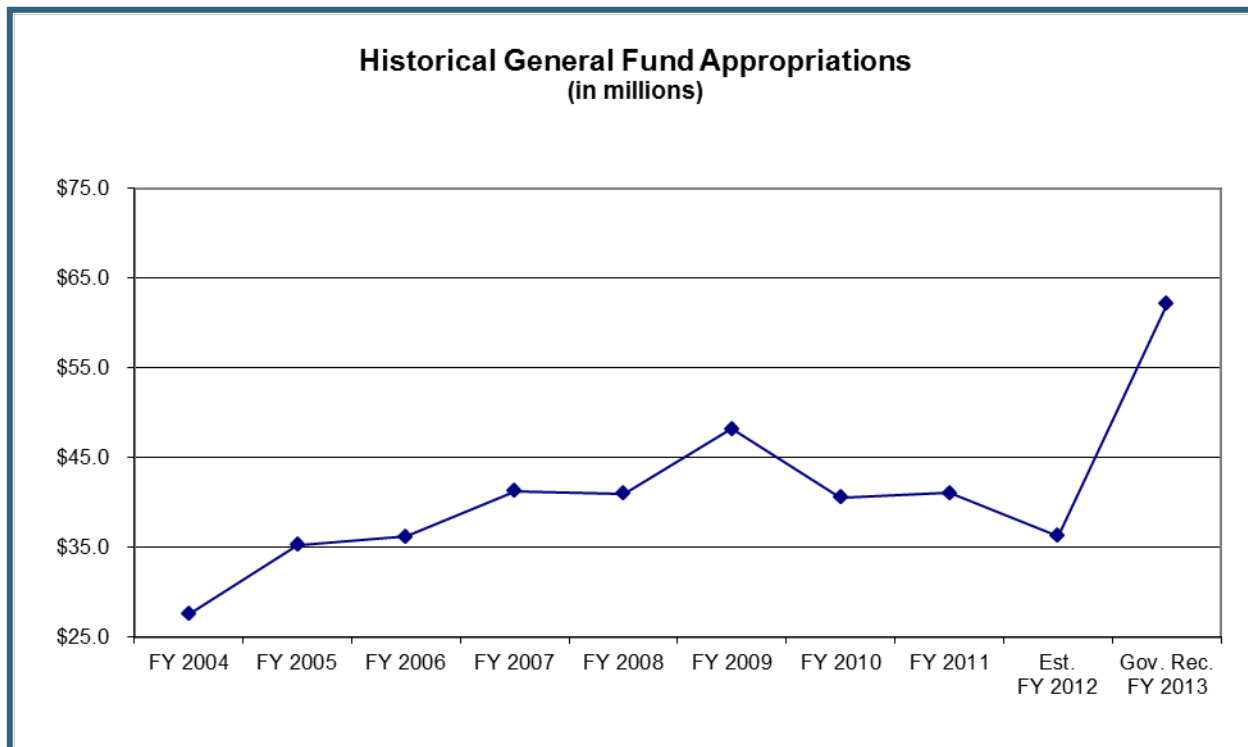
ECONOMIC DEVELOPMENT APPROPRIATIONS SUBCOMMITTEE

FY 2013 General Fund Governor's Recommendations



FY 2013 General Fund Governor's Recommendations

Cultural Affairs	\$ 5,374,942
Economic Development Authority	35,961,557
Regents	3,208,297
Iowa Workforce Development	15,851,758
Iowa Finance Authority	658,000
Public Employment Relations Board	1,148,426
	<u>\$ 62,202,980</u>



FY 2013 GOVERNOR'S RECOMMENDATIONS

Department of Cultural Affairs

The [Iowa Department of Cultural Affairs](#) (DCA) provides cultural leadership and direction for the State through the Iowa Arts Council and the State Historical Society of Iowa.

The Governor is recommending FY 2013 General Fund appropriations totaling \$5,374,942. This is an increase of \$400,000 compared to estimated FY 2012.

General Fund Recommendations

	Estimated FY 2012	Gov Rec FY 2013	Gov Rec vs Est. FY 2012
<u>Cultural Affairs, Dept. of</u>			
Cultural Affairs, Dept. of			
Administration Division	\$ 171,813	\$ 171,813	\$ 0
Community Cultural Grants	172,090	172,090	0
Historical Division	2,767,701	2,767,701	0
Historic Sites	426,398	426,398	0

	Estimated FY 2012	Gov Rec FY 2013	Gov Rec vs Est. FY 2012
<u>Cultural Affairs, Dept. of - continued</u>			
Arts Division	933,764	933,764	0
Great Places	150,000	150,000	0
Archiving Former Governor's Papers	65,933	65,933	0
Records Center Rent	227,243	227,243	0
Battle Flag Stabilization	60,000	60,000	0
Film Office	0	400,000	400,000
Total Cultural Affairs, Dept. of	\$ 4,974,942	\$ 5,374,942	\$ 400,000

The Governor is recommending a new appropriation of \$400,000 to create a Film Office within the DCA. The Governor does not recommend lifting the suspension of the film tax credits.

Issues

Iowa Cultural Trust – When the principal balance in the Iowa Cultural Trust Grant Account equals or exceeds \$3,000,000, the Board of Trustees of the Iowa Cultural Trust may use moneys for a statewide educational program to promote participation in, expanded support of, and local endowment building for Iowa nonprofit arts, history, and sciences and humanities organizations. The current balance in the Account, as of January 9, 2012, is \$5,935,806. Iowa Code Section 15G.111(7) allocates \$1,000,000 annually from the \$50,000,000 Economic Development Fund (formerly the Grow Iowa Values Fund) appropriation to the Trust through FY 2015. The allocation for the Trust was adjusted to \$300,000 for FY 2012. However, the Economic Development Fund will be repealed at the end of FY 2012.

Iowa Economic Development Authority

The main products and services offered by the [Iowa Economic Development Authority](#) involve business development or community development. The types of products and services in both categories include the following:

- Marketing and promotion to encourage customers and partners to help achieve common development goals.
- Financial assistance to communities and businesses for specific development.
- Technical assistance to communities and community organizations and businesses.

The Governor is recommending FY 2013 General Fund appropriations totaling \$35,961,557. This is an increase of \$25,500,000 compared to estimated FY 2012. The Governor is also recommending other fund appropriations totaling \$4,000,000 for FY 2013. This is no change compared to estimated FY 2012.

General Fund Recommendations

	<u>Estimated FY 2012</u>	<u>Gov Rec FY 2013</u>	<u>Gov Rec vs Est. FY 2012</u>
<u>Economic Development Authority</u>			
Economic Development Authority			
Economic Development Appropriation	\$ 9,783,424	\$ 9,783,424	\$ 0
World Food Prize	500,000	1,000,000	500,000
Iowa Comm. Volunteer Serv - Promise	178,133	178,133	0
Incentives	0	25,000,000	25,000,000
Total Economic Development Authority	\$ 10,461,557	\$ 35,961,557	\$ 25,500,000

Changes include:

- A new General Fund appropriation of \$25,000,000 for an Incentives Fund operated by the Authority.
- An increase of \$500,000 for the World Food Prize to fund the appropriation at the statutory level.

Other Fund Recommendations

	<u>Estimated FY 2012</u>	<u>Gov Rec FY 2013</u>	<u>Gov Rec vs Est. FY 2012</u>
<u>Economic Development Authority</u>			
Economic Development Authority			
Workforce Development Fund	\$ 4,000,000	\$ 4,000,000	\$ 0
Total Economic Development Authority	\$ 4,000,000	\$ 4,000,000	\$ 0

Issues

Councils of Governments – The Subcommittee may want to review the funding for the Iowa Council of Governments (COGs). The COGs have been funded in the past in a number of manners.

- For fiscal year 2007, the COGs were funded through a \$150,000 appropriation from the loan repayments of the Rural Community 2000 (RC 2000) Fund.
- For fiscal year 2008, the appropriation to the COGs was \$40,412 from the repayments to the RC 2000 fund.
- For fiscal year 2009, the subcommittee appropriated \$160,000 out of the Grow Iowa Values Fund interest and loan payments received by the RC 2000 Program, which were \$20,000.
- For fiscal year 2010, the subcommittee appropriated \$144,000 from the Federal Economic Stimulus and Jobs Holding Account interest.
- In the 2010 Legislative Session, SF 2389 (Infrastructure Appropriations Act) created a standing allocation in Iowa Code Section 15G.111 of \$175,000 from the Economic Development Fund (formerly the Grow Iowa Values Fund) interest for fiscal years 2011 through 2013. However, the Economic Development Fund will be repealed at the end of FY 2012.

The money is used to leverage federal and local dollars for various programs. State dollars and membership dues by local government members are essentially the only funds available for COGs to utilize in securing matching grants.

Employee Stock Ownership Plans (ESOP) – *The Governor proposes committing \$1,000,000 for outreach, education, and technical assistance to increase the use and formation of ESOPs. The source of funding for this proposal has not been identified. An ESOP is a tool used to allow a business to be sold to its employees.*

Incentive Fund – *The Governor is recommending a \$25,000,000 General Fund appropriation to an Incentive Fund to replace the Economic Development Fund (formerly the Grow Iowa Values Fund) that is set to sunset at the end of FY 2012. Previous Economic Development Fund appropriations have come from the Rebuild Iowa Infrastructure Fund for fiscal years 2009 through 2012. This proposal will add a loan assistance component to the High Quality Jobs Program. Additionally, the Governor proposes reducing the state appropriation to this component by \$2,500,000 each year as the Fund begins to redirect a portion of tax revenue from jobs directly attributable to the program.*

The World Food Prize – The Subcommittee may want to review the funding of the World Food Prize (WFP). Iowa Code Section 15.368 appropriates \$1,000,000 from the General Fund to support the WFP. For fiscal years 2010 through 2012, the Subcommittee appropriated \$750,000, \$650,000 and \$500,000 respectively, from the General Fund. An additional \$100,000 was appropriated from the Rebuild Iowa Infrastructure Fund (RIIF) for FY 2011 and 2012. *For FY 2013 the Governor is recommending an appropriation of \$1,000,000.*

Notice of Appropriation Transfer – On August 11, 2011, the Legislative Services Agency received notice that \$165,000 of FY 2011 funding was being transferred from the Main Street Challenge Match Grant appropriation to the (former) Iowa Department of Economic Development Administrative Services Division. The transfer was requested to help absorb a midyear reduction of \$307,000 to the original appropriation for the Administrative Services Division, resulting from provisions of HF 2531 (FY 2011 Standing Appropriations Act). The funds being transferred were available from the Main Street Challenge Grants because no awards were made through January of FY 2011 when the request was made. The transfer amount represents 50.0% of the balance available from the Revised Estimated Net FY 2011 appropriation and the FY 2010 balance carryforward for the Main Street Challenge Grant Match appropriation. There are no funds appropriated to the Main Street Challenge Grant Match for FY 2012 appropriation. The actual transfer amount of \$145,775 was finalized August 31, 2011.

Board of Regents

The Economic Development Appropriations Subcommittee appropriates funds to the [Board of Regents](#) universities for the following purposes:

- The University of Iowa (UI) Economic Development appropriation includes the University of Iowa Pharmaceuticals, Research Park, and Technology Innovation Center.
- The Iowa State University (ISU) Economic Development appropriation includes the Institute for Physical Research and Technology, Small Business Development Centers, and Research Park.
- The University of Northern Iowa (UNI) Economic Development appropriation includes the Institute for Decision Making, Metal Casting Center, and MyEntre.Net Program.

The Governor is recommending FY 2013 General Fund appropriations totaling \$3,208,297. This is no change compared to estimated FY 2012.

General Fund Recommendations

	<u>Estimated FY 2012</u>	<u>Gov Rec FY 2013</u>	<u>Gov Rec vs Est. FY 2012</u>
<u>Regents, Board of</u>			
Regents, Board of			
ISU - Economic Development	\$ 2,424,302	\$ 2,424,302	\$ 0
UI - Economic Development	209,279	209,279	0
UNI - Economic Development	574,716	574,716	0
Total Regents, Board of	<u>\$ 3,208,297</u>	<u>\$ 3,208,297</u>	<u>\$ 0</u>

Iowa Workforce Development

The [Department of Iowa Workforce Development](#) (IWD) strives to improve the income, productivity, and safety of all Iowans. In conjunction with State and local economic development efforts, the IWD also assists businesses in fulfilling workforce needs. The IWD major products and services include:

- Workforce Center Services
- Compliance Assistance and Enforcement
- Unemployment Insurance
- Workforce Information and Analysis
- Adjudication, Compliance, and Education
- Resource Management

The Governor is recommending FY 2013 General Fund appropriations totaling \$15,851,758. This is no change compared to estimated FY 2012. The Governor is also recommending other fund appropriations totaling \$5,455,344 for FY 2013. This is no change compared to estimated FY 2012.

General Fund Recommendations

	<u>Estimated FY 2012</u>	<u>Gov Rec FY 2013</u>	<u>Gov Rec vs Est. FY 2012</u>
<u>Iowa Workforce Development</u>			
Iowa Workforce Development			
Labor Services Division	\$ 3,495,440	\$ 3,495,440	\$ 0
Workers' Compensation Division	2,949,044	2,949,044	0
Operations - Field Offices	8,671,352	8,671,352	0
Offender Reentry Program	284,464	284,464	0
Employee Misclassification Program	451,458	451,458	0
Total Iowa Workforce Development	<u>\$ 15,851,758</u>	<u>\$ 15,851,758</u>	<u>\$ 0</u>

Other Fund Recommendations

	Estimated FY 2012	Gov Rec FY 2013	Gov Rec vs Est. FY 2012
<u>Iowa Workforce Development</u>			
Iowa Workforce Development			
Field Offices - Spec Cont Fund	\$ 1,217,084	\$ 1,217,084	\$ 0
Field Offices - UI Reserve Interest	4,238,260	4,238,260	0
Total Iowa Workforce Development	\$ 5,455,344	\$ 5,455,344	\$ 0

Issues

Workforce Development Field Offices Funding – The Subcommittee may want to review the funding streams for the Workforce Development Field Offices. The total estimated FY 2012 appropriation from all funds is \$14,126,696. The FY 2013 Governor’s recommendation is no change, with \$4,238,260 from interest on the Unemployment Compensation Reserve Fund, \$1,217,084 from the Special Contingency Fund (also known as the Penalty & Interest Fund), and the remaining amounts appropriated from the General Fund. The Reserve Fund balance as of January 9, 2012, is approximately \$152,520,396. The IWD estimates interest from the Reserve Fund earned in FY 2013 will be \$500,000.

Notice of Appropriation Transfer – On August 12, 2011, the LSA received notice that \$25,000 was being transferred from the Security Employee Training Program to the Labor Services Division. The Department carried forward \$4,668 from FY 2009 to FY 2010 that was not authorized. After adjusting for the FY 2009 carryforward, an estimated \$24,367 was available to transfer. The actual transfer of \$12,872 was finalized on August 31, 2011. The transfer was requested due to a shortfall in federal funding. The funds being transferred were available because the Department is not operating the Training Program. The transfer amount represents 44.3% of the balance available from the Revised Estimated Net FY 2011 appropriation and the FY 2010 balance carryforward for the Offender Reentry appropriation. The Training Program received a transfer of \$225 for FY 2009. There are no funds appropriated for the Training Program for FY 2012.

Notice of Appropriation Transfer – On August 12, 2011, the LSA received notice that \$250,000 was being transferred from the IWD Offender Reentry Program to IWD Field Offices and Operations. The current and past Economic Development Appropriations Acts authorize the IWD to carry forward funds for both of these appropriations. The transfer was requested to assist in the transition from 55 field offices to 16 offices during FY 2012. The funds being transferred were available because staffing and office expenses for the Offender Reentry Program were below what was anticipated by the IWD. The transfer amount represents 49.7% of the balance available from the Revised Estimated Net FY 2011 appropriation and the FY 2010 balance carryforward for the Offender Reentry appropriation. The Offender Reentry Program transferred out \$194,375 during FY 2009 and \$5,513 during FY 2010. The actual transfer of \$250,000 was finalized on August 31, 2011.

Iowa Finance Authority

The [Iowa Finance Authority](#) (IFA) mission is to finance, administer, advance and preserve affordable housing, and to promote community and economic development for Iowans.

Economic Development Appropriations Subcommittee

The Governor is recommending an FY 2013 General Fund appropriation of \$658,000. This is a decrease of \$100,000 compared to estimated FY 2012.

General Fund Recommendations

	<u>Estimated FY 2012</u>	<u>Gov Rec FY 2013</u>	<u>Gov Rec vs Est. FY 2012</u>
<u>Iowa Finance Authority</u>			
Iowa Finance Authority			
Rent Subsidy Program	\$ 658,000	\$ 658,000	\$ 0
Hills & Dales	100,000	0	-100,000
Total Iowa Finance Authority	<u>\$ 758,000</u>	<u>\$ 658,000</u>	<u>\$ -100,000</u>

The change is due to a decrease of \$100,000 for Hills & Dales due to a one-time appropriation.

Public Employment Relations Board

The Iowa [Public Employment Relations Board](#) is responsible for implementing the provisions of the Public Employment Relations Act, and for adjudicating and conciliating labor/management disputes involving public employers and employee organizations throughout the State.

The Governor is recommending an FY 2013 General Fund appropriation of \$1,148,426. This is an increase of \$90,555 compared to estimated FY 2012.

General Fund Recommendations

	<u>Estimated FY 2012</u>	<u>Gov Rec FY 2013</u>	<u>Gov Rec vs Est. FY 2012</u>
<u>Public Employment Relations Board</u>			
Public Employment Relations			
General Office	\$ 1,057,871	\$ 1,148,426	\$ 90,555
Total Public Employment Relations Board	<u>\$ 1,057,871</u>	<u>\$ 1,148,426</u>	<u>\$ 90,555</u>

The recommended increase will pay for the salary and benefits of a third board member.

INTERIM COMMITTEES, MEETINGS, AND PUBLICATIONS

Publications

The following documents have been published by the LSA that relate to the Economic Development Appropriations Subcommittee:

- *Fiscal Topic* – [Iowa's Gross State Product](#)
- *Fiscal Topic* – [Budget Units: Iowa Great Places Program](#)
- *Fiscal Topic* – [Budget Unit: Archiving Papers of Former Governors](#)
- *Fiscal Topic* – [Budget Unit: The World Food Prize](#)
- *Fiscal Topic* – [Budget Unit: University of Iowa - Economic Development](#)
- *Fiscal Topic* – [Budget Unit: Iowa State University - Economic Development](#)
- *Fiscal Topic* – [Budget Unit: University of Northern Iowa - Economic Development](#)
- *Fiscal Topic* – [Budget Unit: Labor Services Division of Iowa Workforce Development](#)
- *Fiscal Topic* – [Budget Unit: Public Employment Relations Board](#)
- *Fiscal Topic* – [Iowa's Unemployment Compensation Trust Fund](#)
- *Fiscal Topic* – [Iowa Partnership for Economic Progress](#)

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Appendix A

General Fund Tracking

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Economic Development

General Fund

	Actual FY 2011 (1)	Estimated FY 2012 (2)	Enacted FY 2013 (3)	Gov Rec Adjust. FY 2013 (4)	Total Gov Rec FY 2013 (5)	Total Gov Rec vs Est FY 2012 (6)	Percent Change (7)
<u>Cultural Affairs, Dept. of</u>							
Cultural Affairs, Dept. of							
Administration Division	\$ 189,739	\$ 171,813	\$ 85,907	\$ 85,906	\$ 171,813	\$ 0	0.0%
Community Cultural Grants	273,500	172,090	86,045	86,045	172,090	0	0.0%
Historical Division	2,941,185	2,767,701	1,383,851	1,383,850	2,767,701	0	0.0%
Historic Sites	453,615	426,398	213,199	213,199	426,398	0	0.0%
Arts Division	992,886	933,764	466,882	466,882	933,764	0	0.0%
Great Places	204,815	150,000	75,000	75,000	150,000	0	0.0%
Archiving Former Governor's Papers	70,142	65,933	32,967	32,966	65,933	0	0.0%
Records Center Rent	227,243	227,243	113,622	113,621	227,243	0	0.0%
Battle Flag Stabilization	0	60,000	30,000	30,000	60,000	0	0.0%
Film Office	0	0	0	400,000	400,000	400,000	--
Battleship Iowa	3,000,000	0	0	0	0	0	--
Total Cultural Affairs, Dept. of	\$ 8,353,125	\$ 4,974,942	\$ 2,487,473	\$ 2,887,469	\$ 5,374,942	\$ 400,000	8.0%
<u>Economic Development, Dept. of</u>							
Economic Development, Dept. of							
Economic Development Appropriation	\$ 0	\$ 9,783,424	\$ 0	\$ 9,783,424	\$ 9,783,424	\$ 0	0.0%
World Food Prize	650,000	500,000	250,000	750,000	1,000,000	500,000	100.0%
Iowa Comm. Volunteer Ser.-Promise	109,716	178,133	89,067	89,066	178,133	0	0.0%
Incentives	0	0	0	25,000,000	25,000,000	25,000,000	--
Economic Dev. Administration	1,668,291	0	4,891,712	-4,891,712	0	0	--
Business Development	4,779,918	0	0	0	0	0	--
Community Development Division	4,463,077	0	0	0	0	0	--
Main Street Grants	165,775	0	0	0	0	0	--
Total Economic Development, Dept. of	\$ 11,836,777	\$ 10,461,557	\$ 5,230,779	\$ 30,730,778	\$ 35,961,557	\$ 25,500,000	243.7%
<u>Regents, Board of</u>							
Regents, Board of							
ISU - Economic Development	\$ 2,575,983	\$ 2,424,302	\$ 1,212,151	\$ 1,212,151	\$ 2,424,302	\$ 0	0.0%
UI - Economic Development	222,372	209,279	104,640	104,639	209,279	0	0.0%
UNI - Economic Development	610,674	574,716	287,358	287,358	574,716	0	0.0%
Total Regents, Board of	\$ 3,409,029	\$ 3,208,297	\$ 1,604,149	\$ 1,604,148	\$ 3,208,297	\$ 0	0.0%

Economic Development General Fund

	Actual FY 2011 (1)	Estimated FY 2012 (2)	Enacted FY 2013 (3)	Gov Rec Adjust. FY 2013 (4)	Total Gov Rec FY 2013 (5)	Total Gov Rec vs Est FY 2012 (6)	Percent Change (7)
<u>Iowa Workforce Development</u>							
Iowa Workforce Development							
Labor Services Division	\$ 3,139,752	\$ 3,495,440	\$ 1,747,720	\$ 1,747,720	\$ 3,495,440	\$ 0	0.0%
Workers' Compensation Division	2,411,799	2,949,044	1,474,522	1,474,522	2,949,044	0	0.0%
Operations - Field Offices	10,326,640	8,671,352	4,335,676	4,335,676	8,671,352	0	0.0%
Offender Reentry Program	302,621	284,464	142,232	142,232	284,464	0	0.0%
Employee Misclassification Program	480,274	451,458	225,729	225,729	451,458	0	0.0%
Security Employee Training Program	12,711	0	0	0	0	0	--
Total Iowa Workforce Development	\$ 16,673,797	\$ 15,851,758	\$ 7,925,879	\$ 7,925,879	\$ 15,851,758	\$ 0	0.0%
<u>Iowa Finance Authority</u>							
Iowa Finance Authority							
Rent Subsidy Program	\$ 0	\$ 658,000	\$ 329,000	\$ 329,000	\$ 658,000	\$ 0	0.0%
Hills & Dales	0	100,000	0	0	0	-100,000	-100.0%
Total Iowa Finance Authority	\$ 0	\$ 758,000	\$ 329,000	\$ 329,000	\$ 658,000	\$ -100,000	-13.2%
<u>Public Employment Relations Board</u>							
Public Employment Relations							
General Office	\$ 854,386	\$ 1,057,871	\$ 528,936	\$ 619,490	\$ 1,148,426	\$ 90,555	8.6%
Total Public Employment Relations Board	\$ 854,386	\$ 1,057,871	\$ 528,936	\$ 619,490	\$ 1,148,426	\$ 90,555	8.6%
Total Economic Development	\$ 41,127,114	\$ 36,312,425	\$ 18,106,216	\$ 44,096,764	\$ 62,202,980	\$ 25,890,555	71.3%

Appendix B

Other Funds Tracking

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Economic Development Other Fund

	Actual FY 2011 (1)	Estimated FY 2012 (2)	Enacted FY 2013 (3)	Gov Rec Adjust. FY 2013 (4)	Total Gov Rec FY 2013 (5)	Total Gov Rec vs Est FY 2012 (6)	Percent Change (7)
<u>Economic Development, Dept. of</u>							
Economic Development, Dept. of							
Workforce Development Fund	\$ 4,000,000	\$ 4,000,000	\$ 2,000,000	\$ 2,000,000	\$ 4,000,000	\$ 0	0.0%
Taiwan Trade Office - UST	100,000	0	0	0	0	0	--
Site Development Consultations - SIF	175,000	0	0	0	0	0	--
Small Bus Assistance Website - SIF	20,000	0	0	0	0	0	--
Save Our Small Businesses Fund - SIF	5,000,000	0	0	0	0	0	--
Total Economic Development, Dept. of	\$ 9,295,000	\$ 4,000,000	\$ 2,000,000	\$ 2,000,000	\$ 4,000,000	\$ 0	0.0%
<u>Iowa Workforce Development</u>							
Iowa Workforce Development							
Field Offices - Spec Cont Fund	\$ 360,000	\$ 1,217,084	\$ 608,542	\$ 608,542	\$ 1,217,084	\$ 0	0.0%
Field Offices - UI Reserve Interest	6,500,000	4,238,260	1,200,000	3,038,260	4,238,260	0	0.0%
Workers' Comp Div - Spec Cont Fund	471,000	0	0	0	0	0	--
Total Iowa Workforce Development	\$ 7,331,000	\$ 5,455,344	\$ 1,808,542	\$ 3,646,802	\$ 5,455,344	\$ 0	0.0%
<u>Energy Independence</u>							
Office of Energy Independence							
Iowa Power Fund - CRF	\$ 2,000,000	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	--
Total Energy Independence	\$ 2,000,000	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	--
Total Economic Development	\$ 18,626,000	\$ 9,455,344	\$ 3,808,542	\$ 5,646,802	\$ 9,455,344	\$ 0	0.0%

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Appendix C

FTE Position Tracking

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Explanation of FTE Position Data

The following is an explanation of the Full-Time Equivalent (FTE) information provided on the following tables. The columns of FTE data represent different points in time that the numbers were compiled. For additional information on the State's FTE positions, see the following LSA report entitled, State of Iowa FY 2011 FTE positions and Personnel Costs: <https://www.legis.iowa.gov/DOCS/LSA/IssReview/2012/IRDLR000.PDF>

Final Action FY 2011: This information represents the number of FTEs that were appropriated in session law during the 2010 Legislative Session.

Actual FY 2011: This data represents the actual FTE utilization calculated at the close of the fiscal year. The FTE usage is calculated by taking the actual hours worked during the fiscal year and dividing the number by 2,080 hours. For example, if a department has budgeted a full-time position (equating to 1.0 FTE) and this position is vacant for six months of the fiscal year, at the close of the fiscal year, the calculation of the actual FTE would be 0.5 ($1,040 \div 2,080$). The calculation of the actual FTE factors out the portion of the FTE that was vacant during the fiscal year.

Actual FY 11 vs. Final Act FY 11: This shows the difference between the estimates being used at the close of the 2010 Legislative Session and the actual FTE utilization calculated at the close of the fiscal year.

Final Action FY 2012: This information represents the number of FTEs that were appropriated in session law during the 2011 Legislative Session.

Estimated FY 2012: This data represents the estimated FTEs that were budgeted by the departments on or around the beginning of FY 2012 and incorporates any revisions that would have been made to the budget by the departments through (approximately) December of 2011. Changes to the estimates can occur for a variety of reasons. For example, if departments are not provided funding for salary adjustment to cover the costs of funding collective bargaining contracts, the departments will often reduce the number of FTEs in order to cover costs.

Est. FY 12 vs. Final Act FY 12: This column shows the difference between the estimates provided at the beginning of FY 2012 and the FTE positions enacted during the 2011 Legislative Session.

Gov. Rec. FY 2013: This is the Governor's recommendations for FY 2013.

Gov. Rec. vs. Est. FY 12: Represents the difference between the Governor's recommended FTEs and the most recent estimates for FY 2012.

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Economic Development FTE

	Final Action FY 2011	Actual FY 2011	Actual FY 11 vs Final FY 11	Final Action FY 2012	Estimated FY 2012	Est FY 12 vs Final Act FY 12	Gov Rec FY 2013	Gov Rev vs Est FY 2012
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
<u>Cultural Affairs, Dept. of</u>								
Cultural Affairs, Dept. of								
Administration Division	74.50	0.76	-73.74	74.50	0.78	-73.72	0.78	0.00
Historical Division	0.00	42.36	42.36	0.00	44.07	44.07	44.07	0.00
Historic Sites	0.00	4.70	4.70	0.00	3.00	3.00	3.00	0.00
Arts Division	0.00	9.29	9.29	0.00	10.25	10.25	10.25	0.00
Great Places	0.00	2.56	2.56	0.00	3.05	3.05	3.05	0.00
Archiving Former Governor's Papers	0.00	0.87	0.87	0.00	0.73	0.73	0.73	0.00
Total Cultural Affairs, Dept. of	74.50	60.53	-13.97	74.50	61.88	-12.62	61.88	0.00
<u>Economic Development Authority</u>								
Economic Development Authority								
Economic Development Appropriation	0.00	1.91	1.91	0.00	123.70	123.70	123.70	0.00
Iowa State Commission	5.00	5.81	0.81	7.00	7.00	0.00	7.00	0.00
Vision Iowa Program	2.25	1.96	-0.29	2.25	2.25	0.00	2.25	0.00
Workforce Development Admin	4.00	1.60	-2.40	4.00	4.00	0.00	4.00	0.00
Economic Dev. Administration	149.00	14.41	-134.59	149.00	0.00	-149.00	0.00	0.00
Business Development	0.00	32.05	32.05	0.00	0.00	0.00	0.00	0.00
Community Development Division	0.00	52.55	52.55	0.00	0.00	0.00	0.00	0.00
Site Development Consultations - SIF	1.00	0.00	-1.00	0.00	0.00	0.00	0.00	0.00
Total Economic Development Authority	161.25	110.29	-50.96	162.25	136.95	-25.30	136.95	0.00

Economic Development FTE

	Final Action FY 2011	Actual FY 2011	Actual FY 11 vs Final FY 11	Final Action FY 2012	Estimated FY 2012	Est FY 12 vs Final Act FY 12	Gov Rec FY 2013	Gov Rev vs Est FY 2012
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)
<u>Regents, Board of</u>								
Regents, Board of								
ISU - Economic Development	56.63	27.58	-29.05	56.63	56.63	0.00	56.63	0.00
UI - Economic Development	6.00	4.57	-1.43	6.00	6.00	0.00	6.00	0.00
UNI - Economic Development	6.75	6.05	-0.70	6.75	6.75	0.00	6.75	0.00
Total Regents, Board of	69.38	38.20	-31.18	69.38	69.38	0.00	69.38	0.00
<u>Iowa Workforce Development</u>								
Iowa Workforce Development								
Labor Services Division	64.00	60.26	-3.74	64.00	60.88	-3.12	60.40	-0.48
Workers' Compensation Division	30.00	25.29	-4.71	30.00	26.00	-4.00	26.00	0.00
Field Office Operating Fund	146.27	143.66	-2.61	130.00	115.49	-14.51	120.40	4.91
Operations - Field Offices	88.28	0.00	-88.28	0.00	0.00	0.00	0.00	0.00
Offender Reentry Program	3.00	2.96	-0.04	3.00	3.00	0.00	3.00	0.00
Employee Misclassification Program	8.10	7.31	-0.79	8.10	7.00	-1.10	7.00	0.00
Total Iowa Workforce Development	339.65	239.47	-100.18	235.10	212.37	-22.73	216.80	4.43
<u>Public Employment Relations Board</u>								
Public Employment Relations								
General Office	10.00	7.58	-2.42	10.00	9.00	-1.00	9.00	0.00
Total Public Employment Relations Board	10.00	7.58	-2.42	10.00	9.00	-1.00	9.00	0.00
Total Economic Development	654.78	456.07	-198.71	551.23	489.58	-61.65	494.01	4.43

Appendix D

Budget Schedules

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Schedule 6 Example

The Schedule 6 shows all of the resources for a particular budget unit, including appropriations, federal funds, etc.

STATE OF IOWA Fiscal Year 2013 Annual Budget SPECIAL DEPARTMENT: (660) Natural Resources, Department of Budget Unit: (5420G720001) GF-Natural Resources Operations Schedule 6					Department name & budget unit
Resources	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm	Fiscal Year
Appropriations					Appropriation
Appropriation	\$ 15,600,710	\$ 12,266,688	\$ 6,133,344	\$ 6,333,344	
Change	-112,535	0	0	0	
FY11 \$83.7M Reductions	-2,152,106	0	0	0	
Previously Enacted Appropriation	0	0	6,133,344	6,133,344	
	13,336,069	12,266,688	12,266,688	12,466,688	
Receipts					Budget unit receipts
Federal Support	23,050,229	26,982,389	26,982,389	26,982,389	
Intra State Receipts	76,973,737	83,070,509	83,054,509	83,054,509	
Reimbursement from Other Agencies	78,612	0	0	0	
Fees, Licenses & Permits	100	0	0	0	
Refunds & Reimbursements	2,747,206	1,555,195	1,571,195	1,571,195	
Other Sales & Services	2,696	3,500	3,500	3,500	
Unearned Receipts	287,190	0	0	0	
Other	1,531	0	0	0	
	103,141,301	111,611,593	111,611,593	111,611,593	
Total Resources	\$ 116,477,370	\$ 123,878,281	\$ 123,878,281	\$ 124,078,281	
FTE	1,007.78	1,112.95	1,107.95	1,107.95	Full Time Equivalent (FTE) Positions
Disposition of Resources					Budget unit expenditures
Personal Services-Salaries	\$ 80,377,784	\$ 86,452,083	\$ 86,449,583	\$ 86,449,583	
Personal Travel In State	786,388	1,055,377	1,055,377	1,055,377	
State Vehicle Operation	2,356,924	2,138,844	2,138,844	2,138,844	
Depreciation	1,800,575	1,673,740	1,673,740	1,673,740	
Personal Travel Out of State	136,623	344,820	344,820	344,820	

A Schedule 6 provides a detailed budget for all appropriated accounts or Funds under the control of the Department. Receipts includes the appropriation, the salary adjustment (if applicable), across-the-board reductions, supplemental appropriations, intra-state receipts from other agencies, receipts from local governments, and other receipts such as fees. Expenditures include all expenses related to the operating budget, such as salary, travel, contracts, etc. Expenditures also include the reversion or balance brought forward.

Budget schedules are available at: <https://www.legis.iowa.gov/LSAReports/relateddocSchedules.aspx>

Schedule 1 Example

The Schedule 1 shows the “decision packages” used by the Executive Branch to arrive at the Department’s annual budget request (dollars and FTE positions) and the Governor’s recommendations for a particular budget unit.

STATE OF IOWA Fiscal Year 2013 Annual Budget SPECIAL DEPARTMENT: (660) Natural Resources, Department of Budget Unit: (5420G720001) GF-Natural Resources Operations Schedule 1					
Rank	Description	Funding Source	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recommendations	
Base	Maintain essential services associated with natural resource protection, recreation and preservation.	Prev Approp FTE	6,133,344 1,107.95	6,133,344 1,107.95	Department name & budget unit
0001	Restoration to 100% FY 12 Level	Appropriation	6,133,344	6,133,344	Fiscal Year
0002	To replace funding diverted to the Watershed Improvement Fund to provide assistance to the animal agricultural community.	Appropriation	0	200,000	Base budget and Full Time Equivalent Positions (FTEs)
					Adjustments to base budget
Total Budget Unit Funding		Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recommendations	
Previously Enacted Appropriation		\$ 0	\$ 6,133,344	\$ 6,133,344	Total appropriation and FTEs
Appropriation		12,266,688	6,133,344	6,333,344	
Total Appropriations		\$ 12,266,688	\$ 12,266,688	\$ 12,466,688	
Total FTE		1,112.95	1,107.95	1,107.95	

A Schedule 1 provides a summary of funding available for a Department. The Schedule shows both General Fund and total funds plus FTE positions. The Schedule shows, by priority, any changes to current law (or budget).

Department of Cultural Affairs

Schedule 6 Budget Units

Budget Unit Number	Budget Unit Title	Page
2590I370001	Administrative Division - Cultural Affairs	33
2590I220001	Cultural Grants	35
2590I240001	Historical Society	36
2590I400001	Historic Sites	38
2590I210001	Arts Council	40
2590I260001	Great Places	42
2590I250001	Archiving Former Governor's Papers	44
2590I420001	Records Center Rent - GE	45
2590I410001	Battle Flag Stabilization	46
2590Z010001	Film Office	47
2590I160001	Battleship Iowa	48

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STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of
 Budget Unit: (2590I370001) Administrative Division - Cultural Affairs
 Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 212,069	\$ 171,813	\$ 85,906	\$ 85,906
Change	-3,679	0	0	0
FY11 \$83.7M Reductions	-18,651	0	0	0
Previously Enacted Appropriation	0	0	85,907	85,907
	<u>189,739</u>	<u>171,813</u>	<u>171,813</u>	<u>171,813</u>
Other Resources				
Balance Brought Forward (Approps)	0	46	0	0
Total Resources	<u>\$ 189,739</u>	<u>\$ 171,859</u>	<u>\$ 171,813</u>	<u>\$ 171,813</u>
 FTE	 <u>0.76</u>	 <u>0.78</u>	 <u>0.78</u>	 <u>0.78</u>
Disposition of Resources				
Personal Services-Salaries	\$ 64,842	\$ 136,726	\$ 46,887	\$ 46,887
Personal Travel In State	692	2,000	2,000	2,000
Office Supplies	8,725	472	10,000	10,000
Printing & Binding	600	2,550	2,550	2,550
Postage	14,855	776	13,165	13,165
Communications	5,193	6,000	6,000	6,000
Professional & Scientific Services	49	500	500	500
Outside Services	574	100	100	100
Intra-State Transfers	750	750	750	750
Auditor of State Reimbursements	1,355	1,516	1,516	1,516
Reimbursement to Other Agencies	34,132	1,320	26,095	26,095
ITS Reimbursements	49,149	1,853	50,000	50,000
Equipment - Non-Inventory	149	0	0	0

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of
 Budget Unit: (2590I370001) Administrative Division - Cultural Affairs
 Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Disposition of Resources (cont.)				
IT Equipment	6,556	14,196	9,150	9,150
Other Expense & Obligations	2,019	3,000	3,000	3,000
Licenses	5	100	100	100
Balance Carry Forward (Approps)	46	0	0	0
Reversions	46	0	0	0
Total Disposition of Resources	<u>\$ 189,739</u>	<u>\$ 171,859</u>	<u>\$ 171,813</u>	<u>\$ 171,813</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I220001) Cultural Grants

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 273,500	\$ 172,090	\$ 86,045	\$ 86,045
Previously Enacted Appropriation	0	0	86,045	86,045
	<u>273,500</u>	<u>172,090</u>	<u>172,090</u>	<u>172,090</u>
Total Resources	<u>\$ 273,500</u>	<u>\$ 172,090</u>	<u>\$ 172,090</u>	<u>\$ 172,090</u>
Disposition of Resources				
Professional & Scientific Services	\$ 0	\$ 1,500	\$ 1,500	\$ 1,500
State Aid	273,500	170,590	170,590	170,590
Total Disposition of Resources	<u>\$ 273,500</u>	<u>\$ 172,090</u>	<u>\$ 172,090</u>	<u>\$ 172,090</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I240001) Historical Society

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 3,195,107	\$ 2,767,701	\$ 1,383,850	\$ 1,383,850
Change	-3,178	0	0	0
FY11 \$83.7M Reductions	-250,744	0	0	0
Previously Enacted Appropriation	0	0	1,383,851	1,383,851
	<u>2,941,185</u>	<u>2,767,701</u>	<u>2,767,701</u>	<u>2,767,701</u>
Receipts				
Federal Support	1,001,906	972,615	875,354	875,354
Intra State Receipts	334,302	439,163	483,525	483,525
Fees, Licenses & Permits	34,756	14,700	14,700	14,700
Unearned Receipts	1,480	0	0	0
	<u>1,372,444</u>	<u>1,426,478</u>	<u>1,373,579</u>	<u>1,373,579</u>
Total Resources	<u>\$ 4,313,629</u>	<u>\$ 4,194,179</u>	<u>\$ 4,141,280</u>	<u>\$ 4,141,280</u>
 FTE	 <u>42.36</u>	 <u>44.07</u>	 <u>44.07</u>	 <u>44.07</u>
Disposition of Resources				
Personal Services-Salaries	\$ 3,503,420	\$ 3,388,419	\$ 3,438,043	\$ 3,438,043
Personal Travel In State	15,538	21,498	21,498	21,498
State Vehicle Operation	4,144	3,500	3,500	3,500
Personal Travel Out of State	7,127	6,000	6,000	6,000
Office Supplies	25,323	30,823	23,081	23,081
Facility Maintenance Supplies	15,395	16,800	16,800	16,800
Equipment Maintenance Supplies	0	1,000	1,000	1,000
Professional & Scientific Supplies	6,556	15,250	15,250	15,250
Other Supplies	24,532	18,000	18,000	18,000

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I240001) Historical Society

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
Disposition of Resources (cont.)			Request	Recomm
Printing & Binding	59,497	50,650	50,650	50,650
Postage	5,552	14,215	4,150	4,150
Communications	51,475	53,450	53,450	53,450
Rentals	2,330	3,000	3,000	3,000
Utilities	59,285	52,176	52,176	52,176
Professional & Scientific Services	79,907	48,200	48,200	48,200
Outside Services	100,840	83,500	83,500	83,500
Intra-State Transfers	75,411	0	50,000	50,000
Advertising & Publicity	2,426	1,900	1,900	1,900
Outside Repairs/Service	9,726	15,500	15,500	15,500
Reimbursement to Other Agencies	115,915	168,577	108,447	108,447
ITS Reimbursements	1,525	81,536	6,950	6,950
IT Outside Services	2,617	500	500	500
Office Equipment	9,469	10,000	10,000	10,000
Equipment - Non-Inventory	1,952	3,500	3,500	3,500
IT Equipment	15,363	10,473	10,473	10,473
Other Expense & Obligations	7,266	9,700	9,700	9,700
Licenses	9,955	2,100	2,100	2,100
Refunds-Other	27	0	0	0
State Aid	99,565	82,912	82,912	82,912
Aid to Individuals	0	1,000	1,000	1,000
Reversions	1,490	0	0	0
Total Disposition of Resources	<u>\$ 4,313,629</u>	<u>\$ 4,194,179</u>	<u>\$ 4,141,280</u>	<u>\$ 4,141,280</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I400001) Historic Sites

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
Resources			Request	Recomm
Appropriations				
Appropriation	\$ 493,060	\$ 426,398	\$ 213,199	\$ 213,199
FY11 \$83.7M Reductions	-39,445	0	0	0
Previously Enacted Appropriation	0	0	213,199	213,199
	<u>453,615</u>	<u>426,398</u>	<u>426,398</u>	<u>426,398</u>
Other Resources				
Balance Brought Forward (Approps)	0	89	0	0
Receipts				
Intra State Receipts	18,000	30,826	30,826	30,826
Total Resources	<u>\$ 471,615</u>	<u>\$ 457,313</u>	<u>\$ 457,224</u>	<u>\$ 457,224</u>
FTE	<u>4.70</u>	<u>3.00</u>	<u>3.00</u>	<u>3.00</u>
Disposition of Resources				
Personal Services-Salaries	\$ 273,734	\$ 244,674	\$ 244,674	\$ 244,674
Personal Travel In State	1,862	1,500	1,500	1,500
Office Supplies	1,075	2,000	2,000	2,000
Facility Maintenance Supplies	514	1,500	1,500	1,500
Equipment Maintenance Supplies	642	1,500	1,500	1,500
Ag.,Conservation & Horticulture Supply	89	0	0	0
Other Supplies	5,569	5,000	5,000	5,000
Printing & Binding	173	500	500	500
Communications	13,785	14,000	14,000	14,000
Rentals	75	500	500	500
Utilities	43,668	42,000	42,000	42,000
Professional & Scientific Services	37,870	40,000	40,000	40,000

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I400001) Historic Sites

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
			Request	Recomm
Disposition of Resources (cont.)				
Outside Services	77,658	77,000	77,000	77,000
Advertising & Publicity	6,892	1,500	1,500	1,500
Outside Repairs/Service	2,326	20,000	20,000	20,000
Reimbursement to Other Agencies	349	350	350	350
Equipment - Non-Inventory	3,798	3,000	3,000	3,000
IT Equipment	76	1,089	1,000	1,000
Other Expense & Obligations	1,183	1,200	1,200	1,200
Licenses	100	0	0	0
Balance Carry Forward (Approps)	89	0	0	0
Reversions	89	0	0	0
Total Disposition of Resources	<u>\$ 471,615</u>	<u>\$ 457,313</u>	<u>\$ 457,224</u>	<u>\$ 457,224</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I210001) Arts Council

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
Resources			Request	Recomm
Appropriations				
Appropriation	\$ 1,023,712	\$ 933,764	\$ 466,882	\$ 466,882
Change	-480	0	0	0
FY11 \$83.7M Reductions	-30,346	0	0	0
Previously Enacted Appropriation	0	0	466,882	466,882
	<u>992,886</u>	<u>933,764</u>	<u>933,764</u>	<u>933,764</u>
Other Resources				
Balance Brought Forward (Approps)	0	48	0	0
Receipts				
Federal Support	737,772	698,455	628,609	628,609
Total Resources	<u>\$ 1,730,658</u>	<u>\$ 1,632,267</u>	<u>\$ 1,562,373</u>	<u>\$ 1,562,373</u>
FTE	<u>9.29</u>	<u>10.25</u>	<u>10.25</u>	<u>10.25</u>
Disposition of Resources				
Personal Services-Salaries	\$ 721,331	\$ 683,425	\$ 639,546	\$ 639,546
Personal Travel In State	7,356	13,500	13,500	13,500
Personal Travel Out of State	2,197	0	0	0
Office Supplies	1,082	3,187	1,400	1,400
Other Supplies	96	0	0	0
Printing & Binding	606	4,000	4,000	4,000
Postage	190	2,523	200	200
Communications	5,879	6,000	6,000	6,000
Professional & Scientific Services	75,466	78,722	78,722	78,722
Outside Services	79	2,900	2,900	2,900
Advertising & Publicity	309	4,000	4,000	4,000

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I210001) Arts Council

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013 Department	Fiscal Year 2013 Governor's
	Actual	Estimated	Request	Recomm
Disposition of Resources (cont.)				
Reimbursement to Other Agencies	752	5,845	1,200	1,200
ITS Reimbursements	83	17,212	0	0
IT Outside Services	130	0	0	0
Equipment - Non-Inventory	0	3,400	3,400	3,400
IT Equipment	7,295	8,298	8,250	8,250
Other Expense & Obligations	-104	110	110	110
State Aid	907,816	799,145	799,145	799,145
Balance Carry Forward (Approps)	48	0	0	0
Reversions	48	0	0	0
Total Disposition of Resources	<u>\$ 1,730,658</u>	<u>\$ 1,632,267</u>	<u>\$ 1,562,373</u>	<u>\$ 1,562,373</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I260001) Great Places

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 214,869	\$ 150,000	\$ 75,000	\$ 75,000
Change	-1,380	0	0	0
FY11 \$83.7M Reductions	-8,674	0	0	0
Previously Enacted Appropriation	0	0	75,000	75,000
	<u>204,815</u>	<u>150,000</u>	<u>150,000</u>	<u>150,000</u>
Other Resources				
Balance Brought Forward (Approps)	1,894	7	0	0
Total Resources	<u>\$ 206,709</u>	<u>\$ 150,007</u>	<u>\$ 150,000</u>	<u>\$ 150,000</u>
 FTE	 <u>2.56</u>	 <u>3.05</u>	 <u>3.05</u>	 <u>3.05</u>
Disposition of Resources				
Personal Services-Salaries	\$ 179,428	\$ 130,532	\$ 122,332	\$ 122,332
Personal Travel In State	5,940	6,855	8,348	8,348
Office Supplies	321	300	300	300
Other Supplies	142	500	500	500
Printing & Binding	285	620	1,120	1,120
Communications	495	600	600	600
Rentals	0	150	150	150
Professional & Scientific Services	11,908	5,950	12,000	12,000
Outside Services	3,599	1,500	1,500	1,500
Advertising & Publicity	0	500	500	500
Reimbursement to Other Agencies	259	200	200	200
ITS Reimbursements	2,403	2,100	2,250	2,250
IT Equipment	1,923	200	200	200

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I260001) Great Places

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Disposition of Resources (cont.)				
Balance Carry Forward (Approps)	7	0	0	0
Total Disposition of Resources	<u>\$ 206,709</u>	<u>\$ 150,007</u>	<u>\$ 150,000</u>	<u>\$ 150,000</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of
 Budget Unit: (2590I250001) Archiving Former Governor's Papers
 Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 70,142	\$ 65,933	\$ 32,966	\$ 32,966
Previously Enacted Appropriation	0	0	32,967	32,967
	<u>70,142</u>	<u>65,933</u>	<u>65,933</u>	<u>65,933</u>
Total Resources	<u>\$ 70,142</u>	<u>\$ 65,933</u>	<u>\$ 65,933</u>	<u>\$ 65,933</u>
 FTE	 <u>0.87</u>	 <u>0.73</u>	 <u>0.73</u>	 <u>0.73</u>
Disposition of Resources				
Personal Services-Salaries	\$ 70,142	\$ 65,933	\$ 65,933	\$ 65,933
Total Disposition of Resources	<u>\$ 70,142</u>	<u>\$ 65,933</u>	<u>\$ 65,933</u>	<u>\$ 65,933</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I420001) Records Center Rent - GF

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 227,243	\$ 227,243	\$ 113,621	\$ 113,621
Previously Enacted Appropriation	0	0	113,622	113,622
	<u>227,243</u>	<u>227,243</u>	<u>227,243</u>	<u>227,243</u>
Total Resources	<u>\$ 227,243</u>	<u>\$ 227,243</u>	<u>\$ 227,243</u>	<u>\$ 227,243</u>
Disposition of Resources				
Communications	\$ 1,080	\$ 0	\$ 0	\$ 0
Rentals	185,617	206,237	206,237	206,237
Outside Services	2,040	0	0	0
Outside Repairs/Service	465	0	0	0
ITS Reimbursements	31,535	21,006	21,006	21,006
IT Equipment	6,505	0	0	0
Total Disposition of Resources	<u>\$ 227,243</u>	<u>\$ 227,243</u>	<u>\$ 227,243</u>	<u>\$ 227,243</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590I410001) Battle Flag Stabilization

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
Resources			Request	Recomm
Appropriations				
Appropriation	\$ 0	\$ 60,000	\$ 30,000	\$ 30,000
Previously Enacted Appropriation	0	0	30,000	30,000
	0	60,000	60,000	60,000
Total Resources	\$ 0	\$ 60,000	\$ 60,000	\$ 60,000
FTE	0.02	0.00	0.00	0.00
Disposition of Resources				
Personal Services-Salaries	\$ 0	\$ 19,043	\$ 50,000	\$ 50,000
Personal Travel In State	0	200	200	200
Office Supplies	0	100	100	100
Facility Maintenance Supplies	0	1,000	1,000	1,000
Professional & Scientific Supplies	0	2,000	2,000	2,000
Other Supplies	0	1,000	1,000	1,000
Professional & Scientific Services	0	32,957	2,000	2,000
Reimbursement to Other Agencies	0	1,200	1,200	1,200
Equipment - Non-Inventory	0	1,500	1,500	1,500
IT Equipment	0	1,000	1,000	1,000
Total Disposition of Resources	\$ 0	\$ 60,000	\$ 60,000	\$ 60,000

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (2590Z010001) Film Office

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 0	\$ 0	\$ 0	\$ 400,000
Disposition of Resources				
Office Supplies	\$ 0	\$ 0	\$ 0	\$ 400,000

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (245) Cultural Affairs, Department of

Budget Unit: (25901160001) Battleship Iowa

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Supplementals	\$ 3,000,000	\$ 0	\$ 0	\$ 0
Other Resources				
Balance Brought Forward (Approps)	0	3,000,000	0	0
Total Resources	<u>\$ 3,000,000</u>	<u>\$ 3,000,000</u>	<u>\$ 0</u>	<u>\$ 0</u>
Disposition of Resources				
Professional & Scientific Services	\$ 0	\$ 3,000,000	\$ 0	\$ 0
Balance Carry Forward (Approps)	3,000,000	0	0	0
Total Disposition of Resources	<u>\$ 3,000,000</u>	<u>\$ 3,000,000</u>	<u>\$ 0</u>	<u>\$ 0</u>

Iowa Economic Development Authority
Schedule 6 Budget Units

Budget Unit Number	Budget Unit Title	Page
2690E470001	Economic Development Approp	51
2690E020001	World Food Prize	54
2690F010001	ICVS-Promise	55
2690E720001	Incentives	56
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Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E470001) Economic Development Approp

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
Resources			Request	Recomm
Appropriations				
Appropriation	\$ 0	\$ 9,783,424	\$ 4,891,712	\$ 4,891,712
Previously Enacted Appropriation	0	0	4,891,712	4,891,712
	0	9,783,424	9,783,424	9,783,424
Other Resources				
Balance Brought Forward (Funds)	0	0	204,000	0
Balance Brought Forward (Approps)	0	1,649,457	1,505,000	330,533
	0	1,649,457	1,709,000	330,533
Receipts				
Federal Support	0	4,784,296	4,784,296	4,784,296
Intra State Receipts	0	2,575,500	1,870,500	1,870,500
Reimbursement from Other Agencies	0	425,000	425,000	425,000
Gov Fund Type Transfers - Other Agenc	0	30,100	0	0
Fees, Licenses & Permits	0	100,000	100,000	100,000
Other	0	50,500	50,000	50,000
	0	7,965,396	7,229,796	7,229,796
Total Resources	\$ 0	\$ 19,398,277	\$ 18,722,220	\$ 17,343,753
FTE	1.91	123.70	123.70	123.70
Disposition of Resources				
Personal Services-Salaries	\$ 0	\$ 9,494,320	\$ 9,502,319	\$ 9,502,319
Personal Travel In State	0	127,100	119,600	119,600
State Vehicle Operation	0	31,100	31,100	31,100
Depreciation	0	7,600	7,600	7,600
Personal Travel Out of State	0	318,373	325,873	325,873

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E470001) Economic Development Approp

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
Disposition of Resources (cont.)			Request	Recomm
Office Supplies	0	162,200	163,200	163,200
Equipment Maintenance Supplies	0	1,000	1,000	1,000
Other Supplies	0	16,600	16,600	16,600
Printing & Binding	0	202,100	202,100	202,100
Postage	0	61,950	61,950	61,950
Communications	0	140,600	140,600	140,600
Rentals	0	732,892	735,892	735,892
Utilities	0	4,000	4,000	4,000
Professional & Scientific Services	0	1,042,999	1,047,799	1,047,799
Outside Services	0	542,950	545,150	545,150
Intra-State Transfers	0	426,100	426,100	426,100
Advertising & Publicity	0	1,118,693	1,103,616	603,616
Outside Repairs/Service	0	2,065,100	1,520,100	1,020,100
Attorney General Reimbursements	0	42,500	92,500	92,500
Auditor of State Reimbursements	0	102,500	106,000	106,000
Reimbursement to Other Agencies	0	120,493	100,597	18,181
ITS Reimbursements	0	287,500	285,500	285,500
IT Outside Services	0	3,000	5,000	5,000
Gov Fund Type Transfers - Attorney Ger	0	50,000	0	0
Equipment	0	500	5,500	5,500
Equipment - Non-Inventory	0	10,750	10,750	10,750
IT Equipment	0	31,850	23,350	23,350
Other Expense & Obligations	0	459,999	403,500	3,500
Interest Expense/Princ/Securities	0	10,000	10,000	10,000
Licenses	0	2,000	2,000	2,000
Fees	0	600	600	600

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E470001) Economic Development Approp

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
			Request	Recomm
Disposition of Resources (cont.)				
Refunds-Other	0	750	750	750
State Aid	0	1,449,625	1,499,625	1,499,625
Balance Carry Forward (Approps)	0	330,533	162,949	325,898
Balance Carry Forward (Funds)	0	0	59,000	0
Total Disposition of Resources	<u>\$ 0</u>	<u>\$ 19,398,277</u>	<u>\$ 18,722,220</u>	<u>\$ 17,343,753</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E020001) World Food Prize

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 650,000	\$ 500,000	\$ 250,000	\$ 750,000
Previously Enacted Appropriation	0	0	250,000	250,000
	<u>650,000</u>	<u>500,000</u>	<u>500,000</u>	<u>1,000,000</u>
Total Resources	<u>\$ 650,000</u>	<u>\$ 500,000</u>	<u>\$ 500,000</u>	<u>\$ 1,000,000</u>
Disposition of Resources				
State Aid	<u>\$ 650,000</u>	<u>\$ 500,000</u>	<u>\$ 500,000</u>	<u>\$ 1,000,000</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690F010001) ICVS-Promise

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 112,500	\$ 178,133	\$ 89,066	\$ 89,066
FY11 \$83.7M Reductions	-2,784	0	0	0
Previously Enacted Appropriation	0	0	89,067	89,067
	<u>109,716</u>	<u>178,133</u>	<u>178,133</u>	<u>178,133</u>
Total Resources	<u>\$ 109,716</u>	<u>\$ 178,133</u>	<u>\$ 178,133</u>	<u>\$ 178,133</u>
Disposition of Resources				
Intra-State Transfers	<u>\$ 109,716</u>	<u>\$ 178,133</u>	<u>\$ 178,133</u>	<u>\$ 178,133</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E720001) Incentives

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 0	\$ 0	\$ 0	\$ 25,000,000
Disposition of Resources				
State Aid	\$ 0	\$ 0	\$ 0	\$ 25,000,000

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E010001) Economic Development Administration

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 1,976,046	\$ 0	\$ 0	\$ 0
Change	-728	0	0	0
FY11 \$83.7M Reductions	-307,027	0	0	0
	<u>1,668,291</u>	<u>0</u>	<u>0</u>	<u>0</u>
Other Resources				
Balance Brought Forward (Approps)	123,798	0	0	0
Appropriation Transfer	145,775	0	0	0
	<u>269,573</u>	<u>0</u>	<u>0</u>	<u>0</u>
Receipts				
Intra State Receipts	1,417,219	0	0	0
Reimbursement from Other Agencies	408,071	0	0	0
	<u>1,825,289</u>	<u>0</u>	<u>0</u>	<u>0</u>
Total Resources	<u>\$ 3,763,153</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>
FTE	<u>14.41</u>	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>
Disposition of Resources				
Personal Services-Salaries	\$ 1,391,161	\$ 0	\$ 0	\$ 0
Personal Travel In State	27,782	0	0	0
Personal Travel Out of State	2,358	0	0	0
Office Supplies	36,176	0	0	0
Printing & Binding	4,267	0	0	0
Postage	8,874	0	0	0
Communications	60,224	0	0	0
Rentals	326,092	0	0	0

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E010001) Economic Development Administration

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
			Request	Recomm
Disposition of Resources (cont.)				
Professional & Scientific Services	1,000	0	0	0
Outside Services	46,972	0	0	0
Intra-State Transfers	84,384	0	0	0
Advertising & Publicity	407	0	0	0
Outside Repairs/Service	17,137	0	0	0
Attorney General Reimbursements	20,504	0	0	0
Auditor of State Reimbursements	10,815	0	0	0
Reimbursement to Other Agencies	76,989	0	0	0
ITS Reimbursements	109,383	0	0	0
Equipment - Non-Inventory	1,066	0	0	0
IT Equipment	29,852	0	0	0
Other Expense & Obligations	7,900	0	0	0
State Aid	1,379,913	0	0	0
Balance Carry Forward (Approps)	119,897	0	0	0
Total Disposition of Resources	<u>\$ 3,763,153</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E110001) Business Development

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 5,346,536	\$ 0	\$ 0	\$ 0
FY11 \$83.7M Reductions	-566,618	0	0	0
	<u>4,779,918</u>	<u>0</u>	<u>0</u>	<u>0</u>
Other Resources				
Balance Brought Forward (Approps)	259,880	0	0	0
Receipts				
Intra State Receipts	2,602,404	0	0	0
Refunds & Reimbursements	27,017	0	0	0
Other	1,000	0	0	0
	<u>2,630,421</u>	<u>0</u>	<u>0</u>	<u>0</u>
Total Resources	<u>\$ 7,670,219</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>
 FTE	 <u>32.05</u>	 <u>0.00</u>	 <u>0.00</u>	 <u>0.00</u>
Disposition of Resources				
Personal Services-Salaries	\$ 3,737,720	\$ 0	\$ 0	\$ 0
Personal Travel In State	39,135	0	0	0
State Vehicle Operation	8,877	0	0	0
Personal Travel Out of State	217,404	0	0	0
Office Supplies	132,577	0	0	0
Other Supplies	25,876	0	0	0
Printing & Binding	41,313	0	0	0
Postage	42,113	0	0	0
Communications	51,852	0	0	0
Rentals	333,021	0	0	0

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E110001) Business Development

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department Request	Governor's Recomm
Disposition of Resources (cont.)				
Utilities	3,237	0	0	0
Professional & Scientific Services	285,863	0	0	0
Outside Services	51,523	0	0	0
Intra-State Transfers	7,500	0	0	0
Advertising & Publicity	2,272,046	0	0	0
Outside Repairs/Service	19,147	0	0	0
Attorney General Reimbursements	69,489	0	0	0
Reimbursement to Other Agencies	1,280	0	0	0
ITS Reimbursements	27,827	0	0	0
IT Equipment	8,451	0	0	0
Other Expense & Obligations	2,891	0	0	0
Interest Expense/Princ/Securities	-7,151	0	0	0
Refunds-Other	1,028	0	0	0
State Aid	209,803	0	0	0
Balance Carry Forward (Approps)	87,395	0	0	0
Total Disposition of Resources	<u>\$ 7,670,219</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E710001) Community Development Block Grant

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 5,063,917	\$ 0	\$ 0	\$ 0
Change	-15,889	0	0	0
FY11 \$83.7M Reductions	-584,951	0	0	0
	<u>4,463,077</u>	<u>0</u>	<u>0</u>	<u>0</u>
Other Resources				
Balance Brought Forward (Approps)	1,892,733	0	0	0
Receipts				
Federal Support	4,532,535	0	0	0
Intra State Receipts	138,202	0	0	0
	<u>4,670,737</u>	<u>0</u>	<u>0</u>	<u>0</u>
Total Resources	<u>\$ 11,026,547</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>
 FTE	 <u>52.55</u>	 <u>0.00</u>	 <u>0.00</u>	 <u>0.00</u>
Disposition of Resources				
Personal Services-Salaries	\$ 4,249,169	\$ 0	\$ 0	\$ 0
Personal Travel In State	54,000	0	0	0
State Vehicle Operation	17,306	0	0	0
Personal Travel Out of State	14,142	0	0	0
Office Supplies	29,656	0	0	0
Other Supplies	1,671	0	0	0
Printing & Binding	219,483	0	0	0
Postage	18,867	0	0	0
Communications	60,797	0	0	0
Rentals	152,829	0	0	0

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E710001) Community Development Block Grant

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
			Request	Recomm
Disposition of Resources (cont.)				
Professional & Scientific Services	622,885	0	0	0
Outside Services	450,100	0	0	0
Intra-State Transfers	438,578	0	0	0
Advertising & Publicity	1,310,324	0	0	0
Outside Repairs/Service	18,495	0	0	0
Auditor of State Reimbursements	54,737	0	0	0
Reimbursement to Other Agencies	9,995	0	0	0
ITS Reimbursements	353,012	0	0	0
IT Equipment	24,819	0	0	0
Other Expense & Obligations	375,504	0	0	0
Refunds-Other	14	0	0	0
State Aid	1,107,995	0	0	0
Balance Carry Forward (Approps)	1,442,166	0	0	0
Total Disposition of Resources	<u>\$ 11,026,547</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690F440001) Match HUD Historic Preservation Challenge Grants (GF)

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 165,775	\$ 0	\$ 0	\$ 0
Other Resources				
Balance Brought Forward (Approps)	125,775	50,775	20,000	0
Total Resources	<u>\$ 291,550</u>	<u>\$ 50,775</u>	<u>\$ 20,000</u>	<u>\$ 0</u>
Disposition of Resources				
State Aid	\$ 95,000	\$ 50,775	\$ 10,000	\$ 0
Appropriation Transfer	145,775	0	0	0
Balance Carry Forward (Approps)	50,775	0	10,000	0
Total Disposition of Resources	<u>\$ 291,550</u>	<u>\$ 50,775</u>	<u>\$ 20,000</u>	<u>\$ 0</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690F510170) Workforce Development Appr

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 4,000,000	\$ 4,000,000	\$ 2,000,000	\$ 2,000,000
Previously Enacted Appropriation	0	0	2,000,000	2,000,000
	<u>4,000,000</u>	<u>4,000,000</u>	<u>4,000,000</u>	<u>4,000,000</u>
Total Resources	<u>\$ 4,000,000</u>	<u>\$ 4,000,000</u>	<u>\$ 4,000,000</u>	<u>\$ 4,000,000</u>
Disposition of Resources				
Intra-State Transfers	<u>\$ 4,000,000</u>	<u>\$ 4,000,000</u>	<u>\$ 4,000,000</u>	<u>\$ 4,000,000</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (269073E0450) Taiwan Trade Office-UST

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 100,000	\$ 0	\$ 0	\$ 0
Other Resources				
Balance Brought Forward (Approps)	0	100,000	0	0
Total Resources	<u>\$ 100,000</u>	<u>\$ 100,000</u>	<u>\$ 0</u>	<u>\$ 0</u>
Disposition of Resources				
State Aid	\$ 0	\$ 100,000	\$ 0	\$ 0
Balance Carry Forward (Approps)	100,000	0	0	0
Total Disposition of Resources	<u>\$ 100,000</u>	<u>\$ 100,000</u>	<u>\$ 0</u>	<u>\$ 0</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E450063) Site Development Consultations

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 175,000	\$ 0	\$ 0	\$ 0
Other Resources				
Balance Brought Forward (Approps)	0	174,463	150,000	74,463
Total Resources	<u>\$ 175,000</u>	<u>\$ 174,463</u>	<u>\$ 150,000</u>	<u>\$ 74,463</u>
Disposition of Resources				
Personal Services-Salaries	\$ 0	\$ 50,000	\$ 0	\$ 0
Personal Travel In State	537	0	0	0
Professional & Scientific Services	0	40,000	90,000	64,463
State Aid	0	10,000	10,000	10,000
Balance Carry Forward (Approps)	174,463	74,463	50,000	0
Total Disposition of Resources	<u>\$ 175,000</u>	<u>\$ 174,463</u>	<u>\$ 150,000</u>	<u>\$ 74,463</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E460063) Small Business Assistance Website

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 20,000	\$ 0	\$ 0	\$ 0
Disposition of Resources				
ITS Reimbursements	\$ 20,000	\$ 0	\$ 0	\$ 0

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (270) Economic Development, Department of

Budget Unit: (2690E440063) Save Our Small Businesses Fund

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 5,000,000	\$ 0	\$ 0	\$ 0
Other Resources				
Balance Brought Forward (Approps)	0	150,000	150,000	0
Total Resources	<u>\$ 5,000,000</u>	<u>\$ 150,000</u>	<u>\$ 150,000</u>	<u>\$ 0</u>
Disposition of Resources				
Intra-State Transfers	\$ 4,850,000	\$ 150,000	\$ 150,000	\$ 0
Balance Carry Forward (Approps)	150,000	0	0	0
Total Disposition of Resources	<u>\$ 5,000,000</u>	<u>\$ 150,000</u>	<u>\$ 150,000</u>	<u>\$ 0</u>

Board of Regents
Schedule 6 Budget Units

Budget Unit Number	Budget Unit Title	Page
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6150L630001	SUI - Economic Development	72
6150L840001	UNI - Economic Development	73

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STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (800) Regents, Board of

Budget Unit: (6150L830001) ISU - Economic Development

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 2,575,983	\$ 2,424,302	\$ 2,309,123	\$ 1,212,151
Previously Enacted Appropriation	0	0	1,212,151	1,212,151
	<u>2,575,983</u>	<u>2,424,302</u>	<u>3,521,274</u>	<u>2,424,302</u>
Total Resources	<u>\$ 2,575,983</u>	<u>\$ 2,424,302</u>	<u>\$ 3,521,274</u>	<u>\$ 2,424,302</u>
 FTE	 <u>27.58</u>	 <u>56.63</u>	 <u>56.63</u>	 <u>56.63</u>
Disposition of Resources				
Personal Services-Salaries	\$ 1,933,294	\$ 1,927,355	\$ 2,799,464	\$ 1,927,355
Professional & Scientific Supplies	527,403	496,946	721,810	496,947
Rentals	55,753	0	0	0
Utilities	1,680	0	0	0
Intra-State Transfers	0	1	0	0
Equipment	51,126	0	0	0
Aid to Individuals	6,727	0	0	0
Total Disposition of Resources	<u>\$ 2,575,983</u>	<u>\$ 2,424,302</u>	<u>\$ 3,521,274</u>	<u>\$ 2,424,302</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (800) Regents, Board of

Budget Unit: (6150L630001) SUI - Economic Development

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 222,372	\$ 209,279	\$ 1,113,010	\$ 104,639
Previously Enacted Appropriation	0	0	104,640	104,640
	<u>222,372</u>	<u>209,279</u>	<u>1,217,650</u>	<u>209,279</u>
Total Resources	<u>\$ 222,372</u>	<u>\$ 209,279</u>	<u>\$ 1,217,650</u>	<u>\$ 209,279</u>
 FTE	 <u>4.57</u>	 <u>6.00</u>	 <u>6.00</u>	 <u>6.00</u>
Disposition of Resources				
Personal Services-Salaries	\$ 163,008	\$ 182,555	\$ 1,062,161	\$ 182,555
Professional & Scientific Supplies	47,823	26,723	155,489	26,724
Utilities	521	0	0	0
Intra-State Transfers	0	1	0	0
Outside Repairs/Service	11,020	0	0	0
Total Disposition of Resources	<u>\$ 222,372</u>	<u>\$ 209,279</u>	<u>\$ 1,217,650</u>	<u>\$ 209,279</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (800) Regents, Board of

Budget Unit: (6150L840001) UNI - Economic Development

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 610,674	\$ 574,716	\$ 810,347	\$ 287,358
Previously Enacted Appropriation	0	0	287,358	287,358
	<u>610,674</u>	<u>574,716</u>	<u>1,097,705</u>	<u>574,716</u>
Total Resources	<u>\$ 610,674</u>	<u>\$ 574,716</u>	<u>\$ 1,097,705</u>	<u>\$ 574,716</u>
 FTE	 <u>6.05</u>	 <u>6.75</u>	 <u>6.75</u>	 <u>6.75</u>
Disposition of Resources				
Personal Services-Salaries	\$ 470,660	\$ 431,736	\$ 824,614	\$ 431,736
Professional & Scientific Supplies	139,954	142,979	273,091	142,980
Rentals	60	0	0	0
Intra-State Transfers	0	1	0	0
Total Disposition of Resources	<u>\$ 610,674</u>	<u>\$ 574,716</u>	<u>\$ 1,097,705</u>	<u>\$ 574,716</u>

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Iowa Workforce Development Schedule 6 Budget Units

Budget Unit Number	Budget Unit Title	Page
3090Q020001	IWD General Fund - Operations	77
3090Q010001	IWD Workers Comp Operations (GF)	79
3090Q300001	Workforce Development Field Offices	81
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3090Q140052	P & I Workers' Comp. Division	88

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STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q020001) IWD General Fund - Operations

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 3,495,440	\$ 3,495,440	\$ 1,747,720	\$ 1,747,720
FY11 \$83.7M Reductions	-355,688	0	0	0
Previously Enacted Appropriation	0	0	1,747,720	1,747,720
	<u>3,139,752</u>	<u>3,495,440</u>	<u>3,495,440</u>	<u>3,495,440</u>
Other Resources				
Balance Brought Forward (Approps)	579,421	470,136	0	470,136
Appropriation Transfer	12,872	0	0	0
	<u>592,293</u>	<u>470,136</u>	<u>0</u>	<u>470,136</u>
Receipts				
Federal Support	3,147,058	2,676,979	2,500,433	2,500,433
Intra State Receipts	54,857	457,264	288,021	288,021
Refunds & Reimbursements	10,717	10,000	261,652	261,652
	<u>3,212,632</u>	<u>3,144,243</u>	<u>3,050,106</u>	<u>3,050,106</u>
Total Resources	<u>\$ 6,944,677</u>	<u>\$ 7,109,819</u>	<u>\$ 6,545,546</u>	<u>\$ 7,015,682</u>
FTE	<u>60.26</u>	<u>60.88</u>	<u>60.40</u>	<u>60.40</u>
Disposition of Resources				
Personal Services-Salaries	\$ 4,940,504	\$ 5,095,896	\$ 5,250,768	\$ 5,250,768
Personal Travel In State	130,792	117,630	124,415	124,415
State Vehicle Operation	29,699	22,680	21,747	21,747
Depreciation	0	6,000	6,000	6,000
Personal Travel Out of State	39,011	36,563	37,826	37,826
Office Supplies	49,068	47,614	49,320	49,320
Other Supplies	102,597	321,010	38,708	38,708

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q020001) IWD General Fund - Operations

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
			Request	Recomm
Disposition of Resources (cont.)				
Printing & Binding	279	318	331	331
Uniforms & Related Items	2,828	3,421	3,351	3,351
Postage	21,113	18,860	19,820	19,820
Communications	61,936	59,068	61,839	61,839
Rentals	1,698	1,933	2,011	2,011
Utilities	13,788	12,266	12,757	12,757
Professional & Scientific Services	86,706	14,065	14,215	14,215
Outside Services	16,341	21,908	22,783	22,783
Intra-State Transfers	62,389	56,905	59,181	59,181
Outside Repairs/Service	10,045	7,074	7,356	7,356
Reimbursement to Other Agencies	61,794	57,067	59,351	59,351
ITS Reimbursements	3,102	3,023	3,144	3,144
Equipment	21,206	2,000	2,000	2,000
Office Equipment	22,317	1,381	1,436	1,436
Equipment - Non-Inventory	5,233	4,823	4,976	4,976
IT Equipment	135,275	2,300	2,300	2,300
Other Expense & Obligations	656,822	725,878	739,911	739,911
Balance Carry Forward (Approps)	470,136	470,136	0	470,136
Total Disposition of Resources	<u>\$ 6,944,677</u>	<u>\$ 7,109,819</u>	<u>\$ 6,545,546</u>	<u>\$ 7,015,682</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q010001) IWD Workers Comp Operations (GF)

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department Request	Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 2,595,768	\$ 2,949,044	\$ 1,474,522	\$ 1,474,522
Change	-741	0	0	0
FY11 \$83.7M Reductions	-183,228	0	0	0
Previously Enacted Appropriation	0	0	1,474,522	1,474,522
	<u>2,411,799</u>	<u>2,949,044</u>	<u>2,949,044</u>	<u>2,949,044</u>
Other Resources				
Balance Brought Forward (Approps)	0	18,507	0	0
Receipts				
Intra State Receipts	310,000	0	70,531	70,531
Reimbursement from Other Agencies	1,612	0	0	0
Fees, Licenses & Permits	445,609	446,000	446,000	446,000
	<u>757,221</u>	<u>446,000</u>	<u>516,531</u>	<u>516,531</u>
Total Resources	<u>\$ 3,169,020</u>	<u>\$ 3,413,551</u>	<u>\$ 3,465,575</u>	<u>\$ 3,465,575</u>
FTE	<u>25.29</u>	<u>26.00</u>	<u>26.00</u>	<u>26.00</u>
Disposition of Resources				
Personal Services-Salaries	\$ 2,530,210	\$ 2,636,764	\$ 2,726,544	\$ 2,726,544
Personal Travel In State	20,874	21,098	21,944	21,944
State Vehicle Operation	89	108	112	112
Personal Travel Out of State	7,128	8,644	8,990	8,990
Office Supplies	12,730	12,868	13,383	13,383
Other Supplies	112	70,667	28,510	28,510
Printing & Binding	8,988	5,449	5,668	5,668
Postage	19,096	19,209	19,977	19,977

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q010001) IWD Workers Comp Operations (GF)

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
			Request	Recomm
Disposition of Resources (cont.)				
Communications	15,934	16,577	17,242	17,242
Utilities	8,238	6,203	8,176	8,176
Outside Services	7,273	6,671	6,939	6,939
Outside Repairs/Service	115	140	145	145
Reimbursement to Other Agencies	34,519	34,231	35,600	35,600
ITS Reimbursements	1,493	7,558	7,859	7,859
Equipment - Non-Inventory	195	236	246	246
IT Equipment	1,743	35,964	24,456	24,456
Other Expense & Obligations	481,777	531,164	539,784	539,784
Balance Carry Forward (Approps)	18,507	0	0	0
Total Disposition of Resources	<u>\$ 3,169,020</u>	<u>\$ 3,413,551</u>	<u>\$ 3,465,575</u>	<u>\$ 3,465,575</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q300001) Workforce Development Field Offices

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 11,293,047	\$ 8,671,352	\$ 4,335,676	\$ 4,335,676
FY11 \$83.7M Reductions	-966,407	0	0	0
Previously Enacted Appropriation	0	0	4,335,676	4,335,676
	<u>10,326,640</u>	<u>8,671,352</u>	<u>8,671,352</u>	<u>8,671,352</u>
Other Resources				
Appropriation Transfer	250,000	0	0	0
Total Resources	<u>\$ 10,576,640</u>	<u>\$ 8,671,352</u>	<u>\$ 8,671,352</u>	<u>\$ 8,671,352</u>
Disposition of Resources				
Intra-State Transfers	<u>\$ 10,576,640</u>	<u>\$ 8,671,352</u>	<u>\$ 8,671,352</u>	<u>\$ 8,671,352</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q370001) Offender Reentry Program

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 322,261	\$ 284,464	\$ 142,232	\$ 142,232
FY11 \$83.7M Reductions	-19,640	0	0	0
Previously Enacted Appropriation	0	0	142,232	142,232
	<u>302,621</u>	<u>284,464</u>	<u>284,464</u>	<u>284,464</u>
Other Resources				
Balance Brought Forward (Approps)	200,421	18,360	7,500	0
Receipts				
Intra State Receipts	0	0	15,000	15,000
Total Resources	<u>\$ 503,042</u>	<u>\$ 302,824</u>	<u>\$ 306,964</u>	<u>\$ 299,464</u>
FTE	<u>2.96</u>	<u>3.00</u>	<u>3.00</u>	<u>3.00</u>
Disposition of Resources				
Personal Services-Salaries	\$ 191,821	\$ 206,521	\$ 215,815	\$ 215,815
Personal Travel In State	2,726	3,000	3,135	3,135
Office Supplies	0	1,500	1,569	1,569
Other Supplies	0	48,421	41,666	41,666
Outside Services	5,323	4,350	4,546	4,546
Reimbursement to Other Agencies	694	1,200	1,254	1,254
ITS Reimbursements	63	1,200	1,254	1,254
Other Expense & Obligations	34,055	36,632	37,725	37,725
Appropriation Transfer	250,000	0	0	0
Balance Carry Forward (Approps)	18,360	0	0	-7,500
Total Disposition of Resources	<u>\$ 503,042</u>	<u>\$ 302,824</u>	<u>\$ 306,964</u>	<u>\$ 299,464</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q380001) Employee Misclassification

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
Resources			Request	Recomm
Appropriations				
Appropriation	\$ 500,000	\$ 451,458	\$ 225,729	\$ 225,729
FY11 \$83.7M Reductions	-19,726	0	0	0
Previously Enacted Appropriation	0	0	225,729	225,729
	<u>480,274</u>	<u>451,458</u>	<u>451,458</u>	<u>451,458</u>
Receipts				
Intra State Receipts	232,019	252,945	284,638	284,638
Total Resources	<u>\$ 712,293</u>	<u>\$ 704,403</u>	<u>\$ 736,096</u>	<u>\$ 736,096</u>
FTE	<u>7.31</u>	<u>7.00</u>	<u>7.00</u>	<u>7.00</u>
Disposition of Resources				
Personal Services-Salaries	\$ 550,531	\$ 550,661	\$ 575,440	\$ 575,440
Personal Travel In State	4,121	4,418	4,617	4,617
Office Supplies	1,795	1,796	1,877	1,877
Other Supplies	95	120	125	125
Postage	1,071	1,339	1,396	1,396
Communications	20,894	23,225	24,270	24,270
Rentals	200	252	263	263
Utilities	3,880	3,410	3,563	3,563
Professional & Scientific Services	6,046	1,723	1,801	1,801
Outside Services	1,535	1,348	1,409	1,409
Intra-State Transfers	424	0	0	0
Outside Repairs/Service	54	69	72	72
Reimbursement to Other Agencies	16,076	15,560	16,261	16,261
ITS Reimbursements	8,646	8,659	9,048	9,048

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q380001) Employee Misclassification

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Disposition of Resources (cont.)				
Other Expense & Obligations	96,926	91,823	95,954	95,954
Total Disposition of Resources	<u>\$ 712,293</u>	<u>\$ 704,403</u>	<u>\$ 736,096</u>	<u>\$ 736,096</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q080001) Security Employee Training Program

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 13,033	\$ 0	\$ 0	\$ 0
FY11 \$83.7M Reductions	<u>-322</u>	<u>0</u>	<u>0</u>	<u>0</u>
	12,711	0	0	0
Other Resources				
Balance Brought Forward (Approps)	16,326	0	0	0
Total Resources	<u>\$ 29,037</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>
Disposition of Resources				
Postage	\$ 2	\$ 0	\$ 0	\$ 0
Appropriation Transfer	12,872	0	0	0
Reversions	16,163	0	0	0
Total Disposition of Resources	<u>\$ 29,037</u>	<u>\$ 0</u>	<u>\$ 0</u>	<u>\$ 0</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q160052) P & I Workforce Development Field Offices

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 360,000	\$ 1,217,084	\$ 608,542	\$ 608,542
Previously Enacted Appropriation	0	0	608,542	608,542
	<u>360,000</u>	<u>1,217,084</u>	<u>1,217,084</u>	<u>1,217,084</u>
Other Resources				
Balance Brought Forward (Approps)	0	0	0	1,217,084
Total Resources	<u>\$ 360,000</u>	<u>\$ 1,217,084</u>	<u>\$ 1,217,084</u>	<u>\$ 2,434,168</u>
Disposition of Resources				
Other Expense & Obligations	\$ 0	\$ 0	\$ 1,217,084	\$ 1,217,084
Balance Carry Forward (Approps)	0	1,217,084	0	1,217,084
Reversions	360,000	0	0	0
Total Disposition of Resources	<u>\$ 360,000</u>	<u>\$ 1,217,084</u>	<u>\$ 1,217,084</u>	<u>\$ 2,434,168</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q030692) IWD Field Offices (UI Reserve Interest)

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 6,500,000	\$ 4,238,260	\$ 3,038,260	\$ 3,038,260
Previously Enacted Appropriation	0	0	1,200,000	1,200,000
	<u>6,500,000</u>	<u>4,238,260</u>	<u>4,238,260</u>	<u>4,238,260</u>
Total Resources	<u>\$ 6,500,000</u>	<u>\$ 4,238,260</u>	<u>\$ 4,238,260</u>	<u>\$ 4,238,260</u>
Disposition of Resources				
Intra-State Transfers	\$ 3,000,000	\$ 4,238,260	\$ 4,238,260	\$ 4,238,260
Reversions	3,500,000	0	0	0
Total Disposition of Resources	<u>\$ 6,500,000</u>	<u>\$ 4,238,260</u>	<u>\$ 4,238,260</u>	<u>\$ 4,238,260</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (320) Iowa Workforce Development

Budget Unit: (3090Q140052) P & I Workers' Comp. Division

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 471,000	\$ 0	\$ 0	\$ 0
Disposition of Resources				
Intra-State Transfers	\$ 471,000	\$ 0	\$ 0	\$ 0

Iowa Finance Authority
Schedule 6 Budget Units

Budget Unit Number	Budget Unit Title	Page
2700F920001	Rent Subsidy Program	91
2700FZ10001	Hills & Dales	92

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STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (276) Iowa Finance Authority

Budget Unit: (2700F920001) Rent Subsidy Program

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 0	\$ 658,000	\$ 329,000	\$ 329,000
Previously Enacted Appropriation	0	0	329,000	329,000
	<u>0</u>	<u>658,000</u>	<u>658,000</u>	<u>658,000</u>
Total Resources	<u>\$ 0</u>	<u>\$ 658,000</u>	<u>\$ 658,000</u>	<u>\$ 658,000</u>
Disposition of Resources				
Intra-State Transfers	<u>\$ 0</u>	<u>\$ 658,000</u>	<u>\$ 658,000</u>	<u>\$ 658,000</u>

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (276) Iowa Finance Authority

Budget Unit: (2700FZ10001) Hills & Dales

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 0	\$ 100,000	\$ 0	\$ 0
Disposition of Resources				
Intra-State Transfers	\$ 0	\$ 100,000	\$ 0	\$ 0

Public Employment Relations Board
Schedule 6 Budget Units

Budget Unit Number	Budget Unit Title	Page
5720Q810001	PER Board - General Office	95

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STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (755) Public Employment Relations Board

Budget Unit: (5720Q810001) PER Board - General Office

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 1,101,903	\$ 1,057,871	\$ 528,935	\$ 619,490
Change	-3,441	0	0	0
FY11 \$83.7M Reductions	-244,076	0	0	0
Previously Enacted Appropriation	0	0	528,936	528,936
	<u>854,386</u>	<u>1,057,871</u>	<u>1,057,871</u>	<u>1,148,426</u>
Other Resources				
Balance Brought Forward (Approps)	0	43,059	43,059	43,103
Receipts				
Intra State Receipts	200,000	0	0	0
Fees, Licenses & Permits	9,984	10,000	10,000	10,000
	<u>209,984</u>	<u>10,000</u>	<u>10,000</u>	<u>10,000</u>
Total Resources	<u>\$ 1,064,370</u>	<u>\$ 1,110,930</u>	<u>\$ 1,110,930</u>	<u>\$ 1,201,529</u>
 FTE	 <u>7.58</u>	 <u>9.00</u>	 <u>9.00</u>	 <u>9.00</u>
Disposition of Resources				
Personal Services-Salaries	\$ 857,978	\$ 935,622	\$ 935,622	\$ 935,622
Personal Travel In State	9,341	12,000	12,000	12,000
Office Supplies	15,979	5,000	5,000	95,555
Printing & Binding	3,036	1,800	1,800	1,800
Postage	4,708	3,500	3,500	3,500
Communications	6,537	9,000	9,000	9,000
Outside Services	32,961	59,405	59,405	59,405
Outside Repairs/Service	1,674	2,500	2,500	2,500
Reimbursement to Other Agencies	25,545	26,000	26,044	26,044

STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (755) Public Employment Relations Board

Budget Unit: (5720Q810001) PER Board - General Office

Schedule 6

	Fiscal Year 2011	Fiscal Year 2012	Fiscal Year 2013	Fiscal Year 2013
	Actual	Estimated	Department	Governor's
			Request	Recomm
Disposition of Resources (cont.)				
ITS Reimbursements	8,851	9,000	9,000	9,000
Equipment - Non-Inventory	11,643	3,000	3,000	3,000
IT Equipment	0	1,000	1,000	1,000
Other Expense & Obligations	0	0	43,059	43,103
Balance Carry Forward (Approps)	43,059	43,103	0	0
Reversions	43,059	0	0	0
Total Disposition of Resources	<u>\$ 1,064,370</u>	<u>\$ 1,110,930</u>	<u>\$ 1,110,930</u>	<u>\$ 1,201,529</u>

Office of Energy Independence
Schedule 6 Budget Units

Budget Unit Number	Budget Unit Title	Page
3010J610022	Iowa Power Fund	99

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STATE OF IOWA

Fiscal Year 2013 Annual Budget

SPECIAL DEPARTMENT: (311) Energy Independence

Budget Unit: (3010J610022) Iowa Power Fund

Schedule 6

	Fiscal Year 2011 Actual	Fiscal Year 2012 Estimated	Fiscal Year 2013 Department Request	Fiscal Year 2013 Governor's Recomm
Resources				
Appropriations				
Appropriation	\$ 2,000,000	\$ 0	\$ 0	\$ 0
Disposition of Resources				
Intra-State Transfers	\$ 2,000,000	\$ 0	\$ 0	\$ 0

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Appendix E

FY 2011 Year-End Appropriations

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FY 2011 Appropriation Activity

The following information provides a summary of the FY 2011 General Fund and non-General Fund appropriations for the departments under the purview of the Economic Development Appropriations Subcommittee. Appropriations are adjusted for several factors throughout the fiscal year, including supplemental appropriations, deappropriations, and adjustments to standing appropriations to account for actual expenditures. Other activity associated with appropriated funds include: balances brought forward, transfers, and reversions. The tables show each of the departments' appropriations and the changes that occurred throughout the fiscal year. The changes include:

- Original Appropriation: The amounts appropriated from the General Fund in individual appropriation bills during the 2010 Legislative Session.
- \$83.7M Reduction: This was a mandatory General Fund reduction included in SF 2531 (FY 2011 Standing Appropriation Act) that was allocated by the Department of Management across all Executive Branch operational appropriations in January 2011. The reductions excluding the Board of Regents.
- Adjustments to Standings: These adjustments represent changes that are made to budgeted standing unlimited appropriations for the purpose of balancing out the year-end amount. There are numerous standing unlimited appropriations established in the Code. The exact amount for each of these appropriations is not known until the close of the fiscal year. As the General Assembly develops the budget, an estimated amount is included for budgeting purposes. This estimated appropriation is then adjusted to reflect actual expenditures.
- HF 45 Reduction: House File 45 (FY 2011 Appropriation Adjustments Act) included a provision that restricted the amount that State agencies could spend from their FY 2011 appropriations for: Office Supplies, Equipment, Printing and Binding, and Marketing. This requirement reduced agencies appropriations.
- Supplemental/Deappropriations: These changes represent the supplemental appropriations and deappropriations enacted in several bills during the 2011 Legislative Session.
- Total Net Appropriation: This is the sum of all of the above numbers and represents the final appropriation amount after the above legislative changes were applied.
- Balance Brought Forward: Appropriated funds allowed to carry forward from FY 2010 to FY 2011. These funds provided additional spendable dollars for FY 2011.
- Appropriation Transfers In and Out: These adjustments represent transferred appropriation spending authority between enacted appropriations. Most of the transfers were made by the Governor through the authority of Iowa Code section 8.39. There were a limited number of transfers enacted in session law during the 2011 Legislative Session. There were no transfers between non-General Fund appropriations during FY 2011.

- Balance Carry Forward: Appropriated funds that are allowed to carry forward from FY 2011 to FY 2012. Provides additional spendable dollars for FY 2012.
- Reversions: These are the unspent appropriated funds that revert back to the fund from which they were appropriated.
- Total Appropriation Expended: This number represents the appropriation after all of the above adjustments have been made. The result is the total appropriated funds that were expended in FY 2011.

GENERAL FUND APPROPRIATIONS

FY 2011 General Fund Appropriation Activity Department of Cultural Affairs												
Appropriation Name	Original Approp	\$83.7M Reductions	HF 45 Reduction	Supp/ Deapprop	Adjust to Standings	Net Approp	Bal Forward from FY 2010	Transfers In	Transfers Out	Bal Forward to FY 2012	Reversions	Approp Expended
Administration Division	\$ 212,069	\$ -18,651	\$ -3,679	\$ 0	\$ 0	\$ 189,739	\$ 0	\$ 0	\$ 0	\$ -46	\$ -46	\$ 189,647
Community Cultural Grants	273,500	0	0	0	0	273,500	0	0	0	0	0	273,500
Historical Division	3,195,107	-250,744	-3,178	0	0	2,941,185	0	0	0	0	-1,490	2,939,695
Historic Sites	493,060	-39,445	0	0	0	453,615	0	0	0	-89	-89	453,438
Arts Division	1,023,712	-30,346	-480	0	0	992,886	0	0	0	-48	-48	992,791
Great Places	214,869	-8,674	-1,380	0	0	204,815	1,894	0	0	-7	0	206,702
Archiving Former Governor's Papers	70,142	0	0	0	0	70,142	0	0	0	0	0	70,142
Records Center Rent	227,243	0	0	0	0	227,243	0	0	0	0	0	227,243
Battleship Iowa	0	0	0	3,000,000	0	3,000,000	0	0	0	-3,000,000	0	0
Total	\$ 5,709,702	\$ -347,860	\$ -8,717	\$ 3,000,000	\$ 0	\$ 8,353,125	\$ 1,894	\$ 0	\$ 0	\$ -3,000,189	\$ -1,673	\$ 5,353,157
Standing Appropriations												
County Endowment Funding - DCA Grants	\$ 443,300	\$ 0	\$ 0	\$ 0	\$ 0	\$ 443,300	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 443,300
Total Standing Appropriations	\$ 443,300	\$ 0	\$ 0	\$ 0	\$ 0	\$ 443,300	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 443,300
Total Appropriations	\$ 6,153,002	\$ -347,860	\$ -8,717	\$ 3,000,000	\$ 0	\$ 8,796,425	\$ 1,894	\$ 0	\$ 0	\$ -3,000,189	\$ -1,673	\$ 5,796,457

FY 2011 General Fund Appropriation Activity Iowa Department of Economic Development												
Appropriation Name	Original Approp	\$83.7M Reductions	HF 45 Reduction	Supp/ Deapprop	Adjust to Standings	Net Approp	Bal Forward from FY 2010	Transfers In	Transfers Out	Bal Forward to FY 2012	Reversions	Approp Expended
Administration Division	\$ 1,976,046	\$ -307,027	\$ -728	\$ 0	\$ 0	\$ 1,668,291	\$ 123,798	\$ 145,775	\$ 0	\$ -119,897	\$ 0	\$ 1,817,967
Business Development Division	5,346,536	-566,618	0	0	0	4,779,918	259,880	0	0	-87,395	0	4,952,404
Community Development Division	5,063,917	-584,951	-15,889	0	0	4,463,077	1,892,733	0	0	-1,442,166	0	4,913,644
World Food Prize	650,000	0	0	0	0	650,000	0	0	0	0	0	650,000
Iowa Comm. Volunteer Ser.-Promise	112,500	-2,784	0	0	0	109,716	0	0	0	0	0	109,716
Main Street Grants	165,775	0	0	0	0	165,775	125,775	0	-145,775	-50,775	0	95,000
Total	\$ 13,314,774	\$ -1,461,380	\$ -16,617	\$ 0	\$ 0	\$ 11,836,777	\$ 2,402,185	\$ 145,775	\$ -145,775	\$ -1,700,232	\$ 0	\$ 12,538,730
Standing Appropriations												
Tourism marketing - Adjusted Gross Receipts	\$ 862,028	\$ 0	\$ -5,799	\$ 0	\$ 0	\$ 856,229	\$ 0	\$ 0	\$ 0	\$ -83,568	\$ 0	\$ 772,661
Total Standing Appropriations	\$ 862,028	\$ 0	\$ -5,799	\$ 0	\$ 0	\$ 856,229	\$ 0	\$ 0	\$ 0	\$ -83,568	\$ 0	\$ 772,661
Total Appropriations	\$ 14,176,802	\$ -1,461,380	\$ -22,416	\$ 0	\$ 0	\$ 12,693,006	\$ 2,402,185	\$ 145,775	\$ -145,775	\$ -1,783,800	\$ 0	\$ 13,311,391

GENERAL FUND APPROPRIATIONS

FY 2011 General Fund Appropriation Activity Board of Regents													
Appropriation Name	Original Approp	\$83.7M Reductions	HF 45 Reduction	Supp/ Deapprop	Adjust to Standings	Net Approp	Bal Forward from FY 2010	Transfers In	Transfers Out	Bal Forward to FY 2012	Reversions	Approp Expended	
ISU - Economic Development	\$ 2,575,983	\$ 0	\$ 0	\$ 0	\$ 0	\$ 2,575,983	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 2,575,983	
UI - Economic Development	222,372	0	0	0	0	222,372	0	0	0	0	0	222,372	
UNI - Economic Development	610,674	0	0	0	0	610,674	0	0	0	0	0	610,674	
Total	\$ 3,409,029	\$ 0	\$ 0	\$ 0	\$ 0	\$ 3,409,029	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 3,409,029	

FY 2011 General Fund Appropriation Activity Iowa Workforce Development													
Appropriation Name	Original Approp	\$83.7M Reductions	HF 45 Reduction	Supp/ Deapprop	Adjust to Standings	Net Approp	Bal Forward from FY 2010	Transfers In	Transfers Out	Bal Forward to FY 2012	Reversions	Approp Expended	
Labor Services Division	\$ 3,495,440	\$ -355,688	\$ 0	\$ 0	\$ 0	\$ 3,139,752	\$ 579,421	\$ 12,872	\$ 0	\$ -470,136	\$ 0	\$ 3,261,909	
Workers Compensation Division	2,595,768	-183,228	-741	0	0	2,411,799	0	0	0	-18,507	0	2,393,292	
Operations - Field Offices	11,293,047	-966,407	0	0	0	10,326,640	0	250,000	0	0	0	10,576,640	
Offender Re-entry Program	322,261	-19,640	0	0	0	302,621	200,421	0	-250,000	-18,360	0	234,682	
Employee Misclassification	500,000	-19,726	0	0	0	480,274	0	0	0	0	0	480,274	
Security Employee Training Program	13,033	-322	0	0	0	12,711	16,326	0	-12,872	0	-16,163	2	
Total	\$ 18,219,549	\$ -1,545,011	\$ -741	\$ 0	\$ 0	\$ 16,673,797	\$ 796,168	\$ 262,872	\$ -262,872	\$ -507,004	\$ -16,163	\$ 16,946,799	

FY 2011 General Fund Appropriation Activity Public Employment Relations Board													
Appropriation Name	Original Approp	\$83.7M Reductions	HF 45 Reduction	Supp/ Deapprop	Adjust to Standings	Net Approp	Bal Forward from FY 2010	Transfers In	Transfers Out	Bal Forward to FY 2012	Reversions	Approp Expended	
General Office	\$ 1,101,903	\$ -244,076	\$ -3,441	\$ 0	\$ 0	\$ 854,386	\$ 0	\$ 0	\$ 0	\$ -43,059	\$ -43,059	\$ 768,267	
Total	\$ 1,101,903	\$ -244,076	\$ -3,441	\$ 0	\$ 0	\$ 854,386	\$ 0	\$ 0	\$ 0	\$ -43,059	\$ -43,059	\$ 768,267	

GENERAL FUND APPROPRIATIONS

FY 2011 General Fund Appropriation Activity Office of Energy Independence												
Standing Appropriation Name	Original Approp	\$83.7M Reductions	HF 45 Reduction	Supp/ Deapprop	Adjust to Standings	Net Approp	Bal Forward from FY 2010	Transfers In	Transfers Out	Bal Forward to FY 2012	Reversions	Approp Expended
Iowa Power Fund	\$ 19,600,000	\$ -16,975	\$ 0	\$ 0	\$ 0	\$ 19,583,025	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 19,583,025
Total	\$ 19,600,000	\$ -16,975	\$ 0	\$ 0	\$ 0	\$ 19,583,025	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 19,583,025

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OTHER FUNDS APPROPRIATIONS

FY 2011 Other Funds Appropriation Activity Iowa Economic Development Authority											
Appropriation Name	Funding Source	Original Approp	HF 45 Reduction	Supp/ Deapprop	Adjust to Standings	Net Approp	Bal Forward from FY 2010	Bal Forward to FY 2012	Reversions	Approp Expended	
Workforce Development Appr	Workforce Development Withholding	\$ 4,000,000	\$ 0	\$ 0	\$ 0	\$ 4,000,000	\$ 0	\$ 0	\$ 0	\$ 0	\$ 4,000,000
Save Our Small Businesses Fund	School Infrastructure Fund	5,000,000	0	0	0	5,000,000	0	-150,000	0		4,850,000
Site Development Consultations	School Infrastructure Fund	175,000	0	0	0	175,000	0	-174,463	0		537
Small Business Assistance Website	School Infrastructure Fund	20,000	0	0	0	20,000	0	0	0		20,000
DED Programs	Federal Econ. Stimulus & Jobs Holding Fund	0	0	0	0	0	13,654,453	-13,472,832	0		181,621
Loan/Credit Guarantee	Federal Econ. Stimulus & Jobs Holding Fund	0	0	0	0	0	2,637,152	-2,637,152	0		0
University/College Programs	Federal Econ. Stimulus & Jobs Holding Fund	0	0	0	0	0	1,782,509	-743,243	0		1,039,266
Workforce Training-Community Colleges	Federal Econ. Stimulus & Jobs Holding Fund	0	0	0	0	0	1,805	-1,805	0		0
Workforce Training-Community Colleges/Job Retention	Federal Econ. Stimulus & Jobs Holding Fund	0	0	0	0	0	1,000,000	-1,000,000	0		0
Taiwan Trade Office	UST Unassign Revenue (Nonbond)	100,000	0	0	0	100,000	0	-100,000	0		0
Cultural Trust Fund	Grow Iowa Values Fund	0	0	0	0	0	1,000,000	-1,000,000	0		0
Sustainable Community Development	Grow Iowa Values Fund	0	0	0	0	0	187,836	-151,753	0		36,082
Total		\$ 9,295,000	\$ 0	\$ 0	\$ 0	\$ 9,295,000	\$ 20,263,754	\$ -19,431,247	\$ 0		\$ 10,127,507
Standing Appropriations											
Endow Iowa Admin	County Endowment Fund	\$ 70,000	\$ 0	\$ 0	\$ 0	\$ 70,000	\$ 70,000	\$ -116,680	\$ 0		\$ 23,320
Total Standing Appropriations		\$ 70,000	\$ 0	\$ 0	\$ 0	\$ 70,000	\$ 70,000	\$ -116,680	\$ 0		\$ 23,320
Total Appropriations		\$ 9,365,000	\$ 0	\$ 0	\$ 0	\$ 9,365,000	\$ 20,333,754	\$ -19,547,926	\$ 0		\$ 10,150,827

FY 2011 Other Funds Appropriation Activity Iowa Workforce Development											
Appropriation Name	Funding Source	Original Approp	HF 45 Reduction	Supp/ Deapprop	Adjust to Standings	Net Approp	Bal Forward from FY 2010	Bal Forward to FY 2012	Reversions	Approp Expended	
Field Offices	Special Contingency Fund	\$ 360,000	\$ 0	\$ 0	\$ 0	\$ 360,000	\$ 0	\$ 0	\$ -360,000	\$ 0	\$ 0
Field Offices	UI Reserve Fund	6,500,000	0	0	0	6,500,000	0	0	-3,500,000		3,000,000
Workers' Comp. Division	Special Contingency Fund	471,000	0	0	0	471,000	0	0	0		471,000
Total		\$ 7,331,000	\$ 0	\$ 0	\$ 0	\$ 7,331,000	\$ 0	\$ 0	\$ -3,860,000	\$ 0	\$ 3,471,000

OTHER FUNDS APPROPRIATIONS

FY 2011 Other Funds Appropriation Activity Iowa Finance Authority										
Appropriation Name	Funding Source	Original Approp	HF 45 Reduction	Supp/ Deapprop	Adjust to Standings	Net Approp	Bal Forward from FY 2010	Bal Forward to FY 2012	Reversions	Approp Expended
Rent Subsidy Program	Senior Living Trust Fund	\$ 700,000	\$ 0	\$ 0	\$ 0	\$ 700,000	\$ 0	\$ 0	\$ -97,227	\$ 602,773
Cedar Rapids Flood Mitigation	Cash Reserve Fund	2,100,000	0	0	0	2,100,000	0	0	0	2,100,000
Linn Co Public Ser. Ctr Flood Damage	Cash Reserve Fund	4,500,000	0	0	0	4,500,000	0	0	0	4,500,000
Total		\$ 7,300,000	\$ 0	\$ 0	\$ 0	\$ 7,300,000	\$ 0	\$ 0	\$ -97,227	\$ 7,202,773

FY 2011 Other Funds Appropriation Activity Office of Energy Independence										
Appropriation Name	Funding Source	Original Approp	HF 45 Reduction	Supp/ Deapprop	Adjust to Standings	Net Approp	Bal Forward from FY 2010	Bal Forward to FY 2012	Reversions	Approp Expended
Iowa Power Fund	Cash Reserve Fund	\$ 2,000,000	\$ 0	\$ 0	\$ 0	\$ 2,000,000	\$ 0	\$ 0	\$ 0	\$ 2,000,000
Total		\$ 2,000,000	\$ 0	\$ 0	\$ 0	\$ 2,000,000	\$ 0	\$ 0	\$ 0	\$ 2,000,000

Appendix F

Required Reports from previous Economic Development Appropriation Acts

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The legislature appropriated \$500,000 for FY2009 to the Department of Economic Development (now the Iowa Economic Development Authority) to be used for the administration of a sustainable community development initiative. Expenditures under this appropriation have included the following:

- FY09 — \$189,667.75
- FY10 — \$122,496.46
- FY11 — \$36,082.37

SF517 directs the Iowa Economic Development Authority to submit a written report by January 1, 2012 to the general assembly regarding all expenditures made during the previous fiscal year for purposes of green initiatives, sustainability programs, and all such similar efforts.

Sec. 10. GREEN INITIATIVES EXPENDITURE REPORT. By January 1, 2012, the department of economic development shall submit a written report to the general assembly regarding all expenditures made during the previous fiscal year for purposes of green initiatives, sustainability programs, and all such similar efforts. The report shall identify such expenditures with a level of specificity sufficient to allow the general assembly to evaluate and assess the propriety of such expenditures under the spending authority given to the department for such purposes.

The total expenditures for fiscal year 2011 equal \$36,082.37. Expenditures were incurred by a total of four recipients for the following activities.

Simonson & Associates Architects **\$2,500.00**

Simonson & Associates Architects received \$2,500 for completing design concept work for the Woodbine, Iowa - Sustainable Community Master Plan.

City of Woodbine **\$15,246.58**

The city of Woodbine received \$15,246.58 with \$241.50 spent on energy efficiency auditing and test out services for a newly rehabilitated for profit multi-use building in downtown Woodbine. The remaining \$15,005.08 was spent on energy efficiency improvements to eight downtown Woodbine small business properties with local match of at least \$36,742.85 leveraged.

Main Street West Union

\$10,835.79

Main Street West Union received \$10,835.79 with \$5,485.67 invested in investment grade energy efficiency audits completed for seven downtown West Union properties. Three West Union small businesses utilized \$900 to assist them in completing grant proposals to the USDA Renewable Energy for America Program for funding to make energy performance improvements. The remaining \$5,350.12 was invested in energy efficiency improvements for 10 West Union businesses. The \$10,835.79 was matched locally by at least \$22,280.87.

University of Northern Iowa – Green Iowa AmeriCorps

\$7,500.00

The Green Iowa AmeriCorps program administered by the University of Northern Iowa received \$7,500. This gap funding allowed Green Iowa AmeriCorps to secure matching funds to expand program services to Decorah and Dubuque, bringing the total of AmeriCorps members serving to 48.

During fiscal year 2011, the Green Iowa AmeriCorps program assisted Iowans with residential energy efficiency improvements for low and moderate income residents, veterans and elderly residents. The program assisted Iowa communities in flood fighting and recovery from natural disasters in Davenport, Dubuque and Elkader. Corps members collected research data to assist in gauging impacts of sustainability efforts on resident behaviors and attitudes. At the same time, Green Iowa AmeriCorps members received training to prepare them for future job opportunities in the areas of energy efficiency and stormwater management. Here is a partial list of activities undertaken by Green Iowa AmeriCorps members.

- 1) 22 Green Iowa AmeriCorps members attended nationally certified Building Performance Institute Certified Building Analyst Training through Northeast Iowa Community College;
- 2) 15 members received Lead Safety Renovator training through the city of Dubuque;
- 3) Members assisted in flooding disaster response in Davenport and Dubuque as well as wind storm response in Vinton, IA;
- 4) Members conducted data collection in West Union to assist in measuring impacts of sustainable community strategies being implemented and members became trained in use of the Irvine-Minnesota Index for measuring the built environment's impacts on human behaviors and attitudes;
- 5) 11 members deconstructed 10 flood impacted homes in partnership with the city of Elkader to do architectural salvage and historic deconstruction;
- 6) 9 members received rain garden installation training from the Rainscaping Iowa program;
- 7) Two new AmeriCorps sites opened, Decorah and Dubuque; and
- 8) Members assisted with community garden at all four sites — Decorah, Dubuque, Cedar Rapids and Waterloo/Cedar Falls.

With many Green Iowa AmeriCorps members having received BPI Certification as energy auditors, the program began collaboration with Iowa Works (an Iowa Workforce Development program) in Cedar Falls to offer “Weatherization Training Courses” with the AmeriCorps members as instructors. The course includes three modules: 1) participation in classroom instruction, 2) hands-on learning through weatherization alongside AmeriCorps members, and 3) 10 hours of volunteering to perform home weatherization with Green Iowa AmeriCorps. Iowa Works advisors recognize the Certificate of Completion as proof that an individual has attended training to further their education and professional development while seeking employment.

Specific energy efficiency related accomplishments of the Green Iowa AmeriCorps program from October 1, 2010 – June 30, 2011 can be seen in Table 1 below.

Table 1. Energy Efficiency Measures of Green Iowa AmeriCorps
October 1, 2010 – June 30, 2011

Performance Measures	Oct-Dec 2010	Jan-Mar 2011	Apr-Jun 2011	Total
Energy conservation and efficiency education programs conducted	13	86	72	171
Attendees at educational programs	345	7,547	5,360	13,252
Implemented or advised property owners (homes and businesses) on weatherization improvements	653	8,009	8,592	17,254
Volunteer hours recruited	483	1,159	5,683	7,325
Implemented team projects and education programs	34	132	161	327
Match resources	\$44,074	\$67,538	\$34,213	\$145,825
Low-income home energy audits performed	35	25	54	114
Average air infiltration reduction in weatherized homes	14%	15%	14%	14.33% (3 qtr avg)
Energy savings gained \$/year through project implementation	\$15,142	\$20,340	\$25,764	\$61,246
Energy savings gained KWH/year through project implementation	19,162	25,740	32,604	77,506
Energy savings gained gallons water/year through project implementation	1,516,210	2,036,700	2,579,820	6,132,730

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**Governing Iowa's public
universities and special schools**

University of Iowa
Iowa State University
University of Northern Iowa
Iowa School for the Deaf
Iowa Braille and Sight Saving School
Lakeside Lab Regents Resource Center
Quad-Cities Graduate Center
Southwest Iowa Regents Resource Center
Tri-State Graduate Center



Craig A. Lang, President, *Brooklyn*
Bruce L. Rastetter, Pro Tem, *Hubbard*
Nicole C. Carroll, *Carroll*
Robert N. Downer, *Iowa City*
Jack B. Evans, *Cedar Rapids*
Ruth R. Harkin, *Cumming*
Greta A. Johnson, *Le Mars*
David W. Miles, *Dallas Center*
Katie S. Mulholland, *Marion*

Robert Donley, *Executive Director*

January 13, 2012

Glen Dickinson
Legislative Services Agency
State Capitol

Re: IPRT Annual Report

Dear Mr. Dickinson:

Pursuant to 2010 Iowa Acts, Chapter 1188 §10(4), the attached summary highlights activities for the Institute for Physical Research and Technology (IPRT) at Iowa State University for FY 2011. The attached spreadsheets include FY 2011 Matching Funds, Expenditures, and Industry Awards. This report is being sent to you for distribution to the Joint Appropriations Subcommittee on Economic Development.

If there are any questions concerning this report, please don't hesitate to contact this office.

Sincerely,

Robert Donley

H:\BF\Legislative\2011 Session\responses\LSA_IPRTreportFY2011.doc
Attachment

cc: Robin Madison, LSA
Ron Robinson, LSA
Legislative Liaisons
Legislative Log

IOWA STATE UNIVERSITY
Institute for Physical Research and Technology

IPRT Company Assistance
2156 Gilman
Ames, Iowa 50011-3111
877 251-6520
FAX 515 294-2361
www.iprt.iastate.edu/assistance

January 11, 2012

FY11 Progress Report on Institute for the Physical Research and Technology Industrial Incentive Program FUNDS

FY11 funding in the amount of \$145,000 was provided by the Institute for Physical Research and Technology for the Iowa Industrial Incentive Program. In FY11, nine IIP projects were funded: four projects with small businesses and five with larger businesses, industrial foundations, or trade associations. All nine projects were funded for directed contract research. FY11 IIP expenditures on FY09 & FY10 carry-forward projects (\$60,968.) and FY11 new projects (\$96,947) equaled \$157,915. FY11 revenue (match) from businesses, industrial foundations, and trade associations totaled \$189,059. The proportion of revenue received as match from small businesses in FY10 was 84 percent.

A summary of project evaluation data clearly shows that Iowa companies with technical problems and research and development needs continue to find important technical help through the services of IPRT Company Assistance. Companies report positive impacts affecting their sales, investments, and operating costs despite the economic recession of 2010-2011. Of the IPRT clients responding to the survey, the estimated annual impact over the last 5 years is \$12.1 million per year. Companies also estimated thirty jobs were created or retained each year from 2006-2010, with an estimated 72 jobs retained or created from projects surveyed in the past year when many employers were cutting jobs. The satisfaction rating given by clients during this five year period is 4.7 (1-5 scale, with "1" being "not satisfied" and "5" being "very satisfied").

George Kraus, Director of IPRT

IPRT Company Assistance FY 11 Expenditures
Allocations to IIP and Industry Awards
Carry Forward from FY07

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Company	Small Co.	City	County	FY11 Industry Award	FY11 Amendments (if applicable)	FY11 Industry Spent	FY 11 Revenue	IIP Award	FY11 Amendments (if applicable)	10 IIP Carry Forward	FY11 IIP Spent
Molecular Express	*	Ames	Story	\$ 299,973.00	\$ -	\$ 56,723.34	\$ 30,000.00	\$ 10,000.00	\$ -	\$ 10,000.00	\$ 11,614.52
				\$ 299,973.00	\$ -	\$ 56,723.34	\$ 30,000.00	\$ 10,000.00	\$ -	\$ 10,000.00	\$ 11,614.52

IPRT Company Assistance FY 11 Expenditures
Allocations to IIP and Industry Awards
Carry Forward from FY09

Company	Small Co.	City	County	FY11 Industry Award	FY11 Amendments (if applicable)	FY11 Industry Spent	FY 11 Revenue	IIP Award	FY11 Amendments (if applicable)	10 IIP Carry Forward	FY11 IIP Spent
MG Biologics	*	Ames	Story	\$ 20,160.00	\$ -	\$ 9,135.00	\$ -	\$ 18,000.00	\$ -	\$ -	\$ 757.58
Metabolic Technologies Inc	*	Ames	Story	\$ 26,069.00	\$ -	\$ 6,122.23	\$ -	\$ 15,065.00	\$ -	\$ 12,839.32	\$ -
				\$ 46,229.00	\$ -	\$ 15,257.23	\$ -	\$ 33,065.00	\$ -	\$ 12,839.32	\$ 757.58

IPRT Company Assistance FY 11 Expenditures
Allocations to IIP and Industry Awards
Carry Forward from FY10

Company	Small Co.	City	County	FY10 Industry Award	FY10 Amendments (if applicable)	FY10 Industry Spent	FY 10 Revenue	IIP Award	FY10 Amendments (if applicable)	10 IIP Allocation	FY10 IIP Spent
Biodynamics	*	West Des Moines	Polk	\$ 6,474.00	\$ -	\$ 6,316.03	\$ -	\$ 5,138.00	\$ -	\$ -	\$ -
EvoSwing	*	Johnston	Polk	\$ 5,245.00	\$ -	\$ 5,043.43	\$ -	\$ 5,245.00	\$ -	\$ 1,943.73	\$ 1,943.73
HGI	*	Madrid	Boone	\$ 15,120.00	\$ -	\$ 12,600.00	\$ -	\$ 17,710.00	\$ -	\$ 5,775.49	\$ 5,753.45
Permeate Refining/Mello3z	*	Hopkinton; Ames	Story	\$ 13,924.68	\$ -	\$ 13,924.04	\$ 7,290.00	\$ 7,277.00	\$ -	\$ 7,277.00	\$ 7,277.00
PHD Technologies	*	Ames	Story	\$ 10,080.00	\$ -	\$ 9,068.19	\$ -	\$ 10,000.00	\$ -	\$ -	\$ -
Great Plains Diesel Tech	*	Ames	Story	\$ 5,466.00	\$ -	\$ 2,414.65	\$ -	\$ 5,431.00	\$ -	\$ 1,169.57	\$ 172.55
				\$ 56,309.68	\$ -	\$ 49,366.34	\$ 7,290.00	\$ 50,801.00	\$ -	\$ 16,165.79	\$ 15,146.73
APC		Ankeny	Polk	\$ 34,452.00	\$ -	\$ 13,496.51	\$ 34,452.00	\$ 17,311.00	\$ -	\$ 7,575.03	\$ 6,802.63
Post Research		Coon Rapids	Carroll	\$ 20,000.00	\$ -	\$ 18,248.67	\$ 10,000.00	\$ 20,000.00	\$ -	\$ 20,000.00	\$ 19,894.53
Schenker Logistics		West Branch	Cedar	\$ 25,000.00	\$ -	\$ 12,640.57	\$ 25,000.00	\$ 16,811.00	\$ -	\$ 6,764.48	\$ 6,752.14
				\$ 79,452.00	\$ -	\$ 44,385.75	\$ 69,452.00	\$ 54,122.00	\$ -	\$ 34,339.51	\$ 33,449.30

IPRT Company Assistance FY 11 Expenditures
Allocations to IIP and Industry Awards
Newly Allocated in FY11

Company	Small Co.	City	County	FY10 Industry Award	FY10 Amendments (if applicable)	FY10 Industry Spent	FY 10 Revenue	IIP Award	FY10 Amendments (if applicable)	10 IIP Allocation	FY10 IIP Spent
Endometric	*	Ames	Story	\$ 21,051.00	\$ -	\$ 20,771.50	\$ 21,051.00	\$ 20,000.00	\$ -	\$ 20,000.00	\$ 5,164.50
My Diabetes Home	*	West Des Moines	Polk	\$ 28,045.00	\$ -	\$ 10,549.15	\$ 28,045.00	\$ 15,000.00	\$ -	\$ 15,000.00	\$ 361.30
Bold	*	Carroll	Carroll	\$ 2,234.00	\$ -	\$ 2,234.00	\$ 2,234.00	\$ 2,233.00	\$ -	\$ 2,233.00	\$ 2,233.00
Permeate/Mello3z	*	Hopkinton; Ames	Delaware; Story	\$ 13,925.00	\$ -	\$ 13,925.04	\$ 7,290.00	\$ 6,635.00	\$ -	\$ 6,635.00	\$ 6,634.97
				\$ 65,255.00	\$ -	\$ 47,479.69	\$ 58,620.00	\$ 43,868.00	\$ -	\$ 43,868.00	\$ 14,393.77
APC		Ankeny	Polk	\$ 34,452.00	\$ -	\$ 13,497.11	\$ 34,452.00	\$ 17,311.00	\$ -	\$ 17,311.00	\$ 17,284.22
Juergens		Carroll	Carroll	\$ 34,544.00	\$ -	\$ -	\$ 17,272.00	\$ 20,038.00	\$ -	\$ 20,038.00	\$ 15,658.65
Harvest Innovations		Indianola	Warren	\$ 13,173.00	\$ -	\$ 335.27	\$ 4,391.00	\$ 13,172.00	\$ -	\$ 13,172.00	\$ 7,878.95
VetCura		Conrad	Grundy	\$ 59,068.00	\$ -	\$ 957.48	\$ 29,534.00	\$ 25,000.00	\$ -	\$ 25,000.00	\$ 26,729.48
Kemin		Des Moines	Polk	\$ 15,000.00	\$ -	\$ 3,956.84	\$ 7,500.00	\$ 15,000.00	\$ -	\$ 15,000.00	\$ 15,002.76
				\$ 156,237.00	\$ -	\$ 18,746.70	\$ 93,149.00	\$ 90,521.00	\$ -	\$ 90,521.00	\$ 82,554.06

	FY11 Industry Award	FY11 Amendments	FY 11 Industry Spent	FY 11 Revenue	IIP Award	FY 11 Amendments	FY11 IIP Allocated Funds	FY11 IIP Spent
Previous Year Carry-over projects:								
Small companies	\$ 102,538.68	\$ -	\$ 64,623.57	\$ 7,290.00	\$ 93,866.00	\$ -	\$ 29,005.11	\$ 27,518.83
Other companies	\$ 79,452.00	\$ -	\$ 44,385.75	\$ 30,000.00	\$ 54,122.00	\$ -	\$ 34,339.51	\$ 33,449.30
	\$ 181,990.68	\$ -	\$ 109,009.32	\$ 37,290.00	\$ 147,988.00	\$ -	\$ 63,344.62	\$ 60,968.13
Newly allocated FY 11 projects:								
Small companies	\$ 65,255.00	\$ -	\$ 47,479.69	\$ 58,620.00	\$ 43,868.00	\$ -	\$ 43,868.00	\$ 14,393.77
Other companies	\$ 156,237.00	\$ -	\$ 18,746.70	\$ 93,149.00	\$ 90,521.00	\$ -	\$ 90,521.00	\$ 82,554.06
	\$ 221,492.00	\$ -	\$ 166,226.39	\$ 151,769.00	\$ 134,389.00	\$ -	\$ 134,389.00	\$ 96,947.83
Carry-over and New projects:								
Combined small co. total	\$ 167,793.68	\$ -	\$ 112,103.26	\$ 65,910.00	\$ 137,734.00	\$ -	\$ 72,873.11	\$ 41,912.60
Combined other co. total	\$ 235,689.00	\$ -	\$ 63,132.45	\$ 123,149.00	\$ 144,643.00	\$ -	\$ 124,860.51	\$ 116,003.36
	\$ 403,482.68	\$ -	\$ 175,235.71	\$ 189,059.00	\$ 282,377.00	\$ -	\$ 197,733.62	\$ 157,915.96

* - Indicates small company.
Small company defined as 20 or less FTE.

Contact: Keith Saunders

2011 ECONOMIC DEVELOPMENT AND TECHNOLOGY TRANSFER REPORT

Actions Requested: Consider recommending the following to the Board:

- 1) Receive the report.
- 2) Direct that this report and copies of complete institutional reports be forwarded to the Secretary of Senate, the Chief Clerk of the House of Representatives, the Legislative Services Agency, and the Office of the Governor and the Director of the Iowa Department of Economic Development pursuant to Iowa Code Chapters 262B.3, HF 809 (2005 Session) and HF 2459 (2006 Session).

Executive Summary:

The Regents universities promote the economy of Iowa most notably by providing higher education to the people of the state. The universities also make a significant contribution to the Iowa economy by conducting academic research that results in intellectual property and applications available to the marketplace and by providing expertise and assistance directly to Iowa's people, industry and communities. The University of Iowa (SUI), Iowa State University (ISU) and the University of Northern Iowa (UNI) thus support the economy of Iowa primarily through their core missions, and their economic contributions to the state are fundamentally linked to their overall academic excellence.

This core mission was supported by \$841.8 million in funding sponsored by federal and corporate sources in FY 2011. This funding provided the basis on which the Regents universities conducted a wide variety of economic development programs that produced the following results in the past year:

- 182 new intellectual property disclosures
- 169 patent applications
- 75 new patents awarded
- 75 new license and option agreements on intellectual property
- 322 total license and option agreements yielding income
- \$18.6 million in royalty and fee income
- \$90.4 million in revenue generated by Iowa companies as a direct result of university technologies
- 2,509 Iowans employed at 121 companies at the SUI, ISU and UNI research parks and incubators

State funding of ongoing economic development programs at the universities has declined by 58% comparing FY 2001 to FY 2011. Grow Iowa Values Fund appropriations to the universities in FY 2011 were reduced to \$3.8 million are 24% lower than the original FY 2005 authorization.

Selected FY 2011 Economic Development and Technology Transfer Highlights

University of Iowa:

- The UIRF executed 8 option and license agreements to startups based on UI intellectual property, and assisted in forming 3 new startup companies based upon UI Intellectual Property. At year-end, 20 UI initiated startup companies remained viable with 14 of these residing in Iowa. In FY11 the funding and financing of these startups (\$33M) doubled over the FY10 total (\$16M), which had doubled over the FY09 total (\$7M). Eleven startups were successful in securing funding and financing, and numerous startups that received funding in FY10 continued to secure additional funding in this year.

- The Iowa Medical Innovation Group (IMIG) is a rapidly growing student oriented interdisciplinary program involving students from the Colleges of Medicine, Engineering, Business and Law focused on the identification of solutions to clinical problems and focused in Health IT and medical devices. Under the auspices of JPEC and UIRF, senior faculty mentor interdisciplinary student innovation teams. In FY 11 two viable technologies emerged for further development.
- The UI Research Park companies and affiliated labs report 1618 employees living in 161 communities in 45 Iowa counties, a regional labor shed covering almost one-half of the state. The average individual salary of \$63,000, which translates into an annual payroll of nearly \$100 million, results in an estimated \$9.0 million in state income taxes in 2011.
- The BioVentures Center currently has 9 tenants, 6 of which are spun from UI technology, for an occupancy rate of 65%. The Technology Innovation Center (TIC) currently houses 11 tenant companies for an occupancy rate of 77% with two new tenants (Angel eCare and Brain Image Analysis) this year. Since TIC opened in 1989, 23 of the 41 companies affiliated with TIC are still in business in Iowa today.

Iowa State University:

- The ISU Research Park continues to be successful in initiating as well as nurturing numerous new businesses. Nine new companies and affiliates joined the Park in FY11, bringing the historical total to 210 companies, research centers, and affiliates. Currently, there are 53 companies, research centers, and affiliates located in the Park, employing 839 people.
- Companies receiving technical assistance from ISU's Institute for Physical Research and Technology reported that the estimated impact of projects conducted in the last year was \$16.9 million; the average impact over the last 5 years is \$12.8 million per year. Companies also estimated over 24 jobs were created or retained each year from 2005-2010 with 20 jobs retained or created from projects surveyed in the past year.
- In FY11, 1,235 businesses from 95 counties in the state received assistance on projects or attended educational workshops from ISU's Center for Industrial Research and Service staff or partners. Companies responding to surveys reported \$43 million in new investments, \$19 million in costs saved or avoided, and \$331 million in sales gained or retained. Company executives stated that 6,037 jobs were added or retained as a result of the assistance they received from CIRAS and partners.
- The Small Business Development Center (SBDC) provided business assistance to companies, involving 2,786 clients and 11,641 counseling hours. They also conducted 351 training workshops in which 4,017 individuals participated.

University of Northern Iowa:

- UNI provided service in all 99 counties of Iowa to nearly 1,300 unique businesses, community and local government clients; another 100,000 individuals were engaged in the MyEntre.Net entrepreneurial support system.
- UNI involved 212 faculty members and more than 2,000 students in the delivery of its services to Iowa businesses and communities.
- UNI's three incubator/accelerators programs and MyEntre.Net helped start or expand 247 business ventures creating 175 FTE jobs.

- 21 student businesses were tenants in the John Pappajohn Entrepreneurial Center's Student Business Incubator and 43 additional student entrepreneurs were assisted by the affiliate program.

Engagement

Many organizational units at the Regents universities are engaged with Iowa's people, industry and communities for the promotion of the state's economic development. Key economic development efforts include: research, intellectual property development and technology transfer, business incubation and acceleration, direct technical assistance to local and regional economic development groups, technical assistance and counseling to businesses, market research for Iowa companies and attracting and retaining businesses in the state. These activities are also highly coordinated with the economic development efforts of the Governor, the Iowa General Assembly and state agencies including the Iowa Department of Economic Development.

State Funding for Economic Development and Technology Transfer

State funding in FY2011 was provided in two primary economic development program areas:

1. Ongoing Economic Development and Technology Transfer Programs: FY 2011 \$3.41 million

In FY 2011, the state provided \$3.41 million for several ongoing programs which include the research parks at SUI and ISU, the Institute for Physical Research and Technology, the Small Business Development Centers, the Institute for Decision Making, the Metal Casting Center and the Center for Advanced Drug Development. For FY 2012, state support for these programs declined again by an additional 5.9 percent. Total state support for these programs now stands at \$3.21 million for FY 2012. This is a decline of 58% below the \$7.63 million provided in FY 2001.

2. Grow Iowa Values Fund (GIVF): FY 2011 \$3.8 million

In FY 2005, the General Assembly authorized a ten-year annual appropriation of \$5 million under the GIVF to the Regents universities for purposes of supporting the human and physical infrastructure needed to effectively develop and transfer technology discoveries and to fund development projects involving existing companies and start ups.

Many of the GIVF-funded projects involve multi-year research and development efforts with private companies. A number of projects funded in earlier years are now being completed and are demonstrating a significant impact on job and wealth creation.

For FY 2011 the General Assembly approved \$3.8 million in GIVF funding, of which \$3.65 million was allocated for the three universities and \$152,000 was allocated for projects submitted by Iowa's independent colleges and universities. The FY 2012 GIVF appropriation was reduced again to \$1.5 million. The Board of Regents approved the universities' FY 2012 proposals at the September 2011 Board meeting. The universities and companies involved in GIVF projects have identified matching funds for the projects. Examples of projects included:

- Terpenoid Therapeutics was provided GIVF funding proof of concept funding in 2005 by the University of Iowa. The company is currently located in the University of Iowa Research Park in the BioVentures Center Incubator and currently has 6 employees. Terpenoid Therapeutics, Inc. is a spin off cancer drug discovery and development company based on the intellectual property from the research of Drs. David Wiemer and Raymond Hohl in Chemistry and Oncology, respectively. The company has been successful in multiple Small Business Innovation Research grant applications, the Iowa Department of Economic Development DEMO fund as well as in raising significant private capital and has two lead compounds approaching Phase I human clinical

trials. Since 2005, the company has raised over \$2M in external funds including IDED demonstration funds (\$150K), Series A funding (\$1.5M) and SBIR/STTR (\$414K).

- Iowa State professor, Dr. Brehm-Stecher, is collaborating with Advanced Analytical Technologies, Inc. to develop a faster method to detect and genetically identify salmonella from contaminated foods. The new method would replace the current system of salmonella detection with a new approach that can provide DNA sequencing-like results in hours rather than days. Faster detection of specific strains can mean recognizing an outbreak sooner and stopping tainted food from being delivered and consumed. Brehm-Stecher's collaborator, Advanced Analytical Technologies, Inc., from Ames, is providing advanced biomedical instruments and reagents for the research.
- The Tallgrass Prairie Center (TPC) at UNI continues a relationship with Cedar Falls Utilities (CFU) to determine the maximum energy production potential from prairie biomass. CFU will burn the biomass in their stoker furnace to evaluate the materials. Unfortunately, the June 2008 flood has set the project back one year. Plots were replanted in 2009 and second year biomass data will be collected this fall. Test burn of biomass will be conducted in spring 2012. TPC continues working with the Iowa Crop Improvement Association to develop a consortium of native seed producers, native plant growers, nurseries, Iowa Department of Natural Resources, Iowa Department of Transportation, Iowa Natural Resources Conservation Service and private individuals to market native plants.

Private College Grant Program

Of the \$3.8 million in FY 2011 GIVF funding, \$152,000 was awarded by the Board of Regents at the February 2010 meeting to three independent universities and colleges for economic development and technology transfer projects.

- Luther College received funding for research into the use of cyclodextrins as a new and potentially less expensive method of detecting furans, dioxanes and polychlorinated biphenyls which can pollute water systems. The researcher believes a low-cost, effective detection method could be commercialized and, once proven, could be expanded to detect other forms of chemical pollutants. The research indicates that the results of the project will be shared with environmental regulatory agencies.
- Clarke College received funding to continue work previously done under GIVF funding that created a web-based analysis library and software tool/portal for clinicians and medical researchers gathering HIV data. The project is a collaboration among faculty at Clarke, UIHC, the University of Wisconsin Hospitals and Clinics, Stanford University School of Medicine and physicians at Dubuque Internal Medicine. The additional funding will allow Clarke to use the software, hardware and research tools developed to design and implement an Iowa clinical ontology in collaboration with a Dubuque clinician. The ontology will enable patients and clinicians to obtain statistical analysis related to patient health conditions by taking advantage of electronic medical records. The researchers believe the proposal will enhance the development of health informatics services in Iowa and plan to license the software product. The researchers propose to work with the Small Business Administration to develop a strategy promoting a medical informatics center in Iowa.
- Upper Iowa University received funding to accelerate a business development program funded in part by the University's Upper Iowa Business Development (UIBD) grant program. The UIBD is a \$570,000 endowment created in 2007. The program supports economic development initiatives including a grant program for entrepreneurs interested in starting or expanding a business in Fayette, Iowa. Local business applicants are evaluated based on their business

plan, growth potential, impact on job creation, and sales and taxes generated. Applicants are provided business development assistance and entrepreneurship mentoring through the University's e-Center and are advised about other sources of funding or tax credits. Funding provided the applicants may be used for research and development or commercialization of a product, marketing or advertising or construction and renovation expenses. Applicants are evaluated by a UIBD Grant Advisory Committee which includes representatives of local and regional economic development organizations. Applicants are required to provide a minimum of 20% cash match.

The Board will review FY 2012 proposals from private colleges at the December 2011 meeting. A total of \$60,000 will be available for these projects.

Full Reports Available

The full annual reports from the universities are available at the Board of Regents website and will be provided to the General Assembly, the Governor's Office, the Legislative Services Agency and the Iowa Department of Economic Development.

Table 1: Intellectual Property, Technology Transfer, and External Support FY2009-2011

Indicators	FY 2009				FY 2010				FY 2011			
	ISU	SUI	UNI	Regents Totals	ISU	SUI	UNI	Regents Totals	ISU	SUI	UNI	Regents Totals
1. Number of disclosures of intellectual property	95	70	12	177	111	70	8	189	106	68	8	182
2. Number of patent applications filed	40	128	6	174	26	107	8	141	47	90	5	169
3. Number of patents awarded	23	116	4	143	29	97	3	129	25	43	3	75
4. Number of license and option agreements executed on institutional intellectual property in total	84	18	3	95	97	21	3	121	49	24	2	75
5. Number of license and option agreements executed on institutional intellectual property in Iowa	32	2	3	37	32	6	2	41	19	5	1	25
6. Number of license and option agreements yielding income	121	135	13	269	260	129	11	400	217	94	11	322
7. Revenue to Iowa companies as a result of licensed technology ¹	\$103 million	\$1.71 million	\$3.2 million	\$107.9 million	\$58 million	\$2.03 million	\$2.7 million	\$62.7 million	\$86 million	\$1.99 million	\$2.4 million	\$90.4 million
8. Number of startup companies formed, in total (through licensing activities)	1	2		3		3		3*	2	3		5
9. Number of startup companies formed, in Iowa (through licensing activities)	1	2		3		3		3*	2	3		5
10. Number of start up companies formed through UNI MyEntrenet/Incubator			74	74			72	72*			61	61
11. Number of companies in research park/ incubators	62	50	34	146	59	46	30	135	57	41	23	121

* corrected

numbers

	FY 2009				FY 2010				FY 2011			
Indicators	ISU	SUI	UNI	Regents Totals	ISU	SUI	UNI	Regents Totals	ISU	SUI	UNI	Regents Totals
12. Number of new companies in research parks and incubators	16	6	23	45	11	3	11	25	10	2	15	27
13. Number of employees in companies in research parks and incubators	854	2029	65	2948	758	2010	61	2829	846	1618	45	2509
14. Royalties and license fee income	\$9.3 million	\$42.9 million	\$117,000	\$52.3 million	\$9.4 million	\$27 million	\$118,849	\$36.52 million	\$11.3 million	\$6.28 million	\$99,074	\$18.57 million
15. Total sponsored funding (\$ million)	\$305.2 million	\$429.5 million	\$39.7 million	\$774.4 million	\$388.2 million	\$466.5 million	\$42 million	\$896.7 million	\$342.3 million	\$456.5 million	\$43 million	\$841.8 million
16. Corporate-sponsored funding for research and economic development ² in total (\$ million)	\$22.4 million	\$38.6 million	\$1.35 million	\$62.35 million	\$21.1 million	\$30.8 million	\$1.55 million	\$53.45 million	\$24.9 million	\$44.7 million	\$2.07 million	\$71.7 million
17. Corporate-sponsored funding for research and economic development ² in Iowa (\$ million)	\$12 million	\$1.5 million	\$1.35 million	\$14.85 million	\$11 million	\$1.8 million	\$1.55 million	\$14.35 million	\$12 million	\$1.5 million	\$2.07 million	\$15.6 million

¹Aggregate sales reported by Iowa companies of products and services based on licensed inventions.

²Excludes corporate philanthropy

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**IOWA STATE UNIVERSITY
OF SCIENCE AND TECHNOLOGY**

**FY11 Board of Regents, State of Iowa, Annual
Economic Development and Technology
Transfer Report**

**PRESENTED BY SHARRON QUISENBERRY, VICE
PRESIDENT FOR RESEARCH AND ECONOMIC
DEVELOPMENT**

September 20, 2011

FY11 Board of Regents, State of Iowa, Annual Economic Development and Technology Transfer Report

1. Please briefly describe the relationship of your institution's economic development activities to the enhancement of economic growth in the state. The description should cover, but not necessarily be limited to the following:
- A. the relationship between institutional activities and creation of jobs and wealth in Iowa
 - B. Institutional activities and services which indirectly promote economic development, such as training provided to staff of local economic development agencies

1A. Enhancement of Economic Growth through Job Creation and Retention, Investments, Sales, and Cost Savings

Iowa State University engages in several activities that have direct impact on both the creation as well as the retention of jobs in Iowa. The ISU Research Park is a technology community that encourages commercialization of university research. Likewise, the Innovations Development Facility, part of the Plant Sciences Institute, incubates new companies. In addition, the IPRT (Institute for Physical Research and Technology) Company Assistance Program, ISU Extension's Outreach Center for Industrial Research and Service (CIRAS), the Small Business Development Center (SBDC) and the ISU Pappajohn Center for Entrepreneurship interact with companies across Iowa to solve production and management problems. These interactions lead to the resolution of problems related to product development and business management. As a consequence of the improved production resulting from these interactions, businesses have been able to retain and often expand their work force. Some examples of the direct impact that these ISU units have had this past year are as follows:

- The ISU Research Park continues to be successful in initiating as well as nurturing numerous new businesses. Nine new companies and affiliates have joined the Park in FY11, bringing the historical total to 210 companies, research centers, and affiliates. Currently, there are 53 companies, research centers, and affiliates located in the Park, employing 839 people.
- There are currently four faculty-affiliated start-up companies located in the Innovations Development Facility, the on-campus business incubator in the Roy J. Carver Co-Laboratory under direction of the Plant Sciences Institute. The PSI met with three entrepreneurs interested in forming Limited Liability Corporations involving plant science. They are currently working with these individuals and ISURF (Iowa State University Research Foundation) to develop SBIR phase I proposals to be submitted to USDA and NIH. A total of 15 companies have used this business incubator space since the facility opened in September 2003.
- A summary of project evaluation data clearly shows that Iowa companies with technical problems and research and development needs continue to find important technical help through the services of IPRT Company Assistance. Companies report positive impacts affecting their sales, investments, and operating costs despite the economic recession of 2009-2011. Of the IPRT clients responding to the survey, the estimated impact of projects conducted in FY10 was \$16.9 million; the average impact over the last 5 years is \$12.8 million

per year. Companies also estimated over twenty-four jobs were created or retained each year from 2005-2010, with twenty jobs retained or created from projects surveyed in the past year. The satisfaction rating given by clients during the past year is 4.8 (1-5 scale, with “1” being “is not satisfied” and “5” being “very satisfied”).

- BodyViz, a spin-off company from IPRT’s Virtual Reality Applications Center, was named Breakout Company of the Year for 2011 at the Technology Association of Iowa’s Prometheus Awards ceremony in April. The awards are recognized as Iowa’s largest and most prestigious awards devoted to promoting and celebrating the innovation and high-tech excellence in Iowa. The company, founded in 2007, is the maker of BodyViz software that creates 3D MRI, CT scan visualizations, unlocking medical imaging for the practicing surgeon, diagnostics and treatment. The company is located in the Iowa State University Research Park. It has 3 full-time and 4 part-time employees.
- Catilin Inc., a spin-off of IPRT’s Center for Catalysis (CCAT), has been acquired by Albemarle Corp. of Baton Rouge, LA. Catilin, founded in 2007, is a technology leader in development and application of heterogeneous biodiesel catalysts. The company will restart Catilin’s pilot plant operation at the Iowa Energy Center’s Biomass Energy Conversion (BECON) Facility in Nevada, Iowa, to test catalysts on different feedstocks for reducing the cost of producing biodiesel, with the goal of running the facility 24 hours a day, seven days a week. Two former students of the late Victor S.-Y. Lin, Catilin founder, director of CCAT, and a professor of chemistry at Iowa State University, will be staying with the company.
- The Extension and Outreach Center for Industrial Research and Service (CIRAS) has a mission to improve the quality of life in Iowa by enhancing the performance of industry through applied research, education, and technical assistance. Cumulatively, over the past five years, CIRAS and its partners have reported impact from companies totaling more than one billion dollars (new investments \$331 million, costs saved or avoided \$83 million, sales gained or retained \$960 million) with 18,255 jobs added or retained as a result of the assistance they received.
- In FY11, 1,235 businesses from 95 counties in the state received assistance on projects or attended educational workshops from CIRAS staff or partners. Companies responding to surveys reported \$43 million in new investments, \$19 million in costs saved or avoided, and \$331 million in sales gained or retained. Company executives stated that 6,037 jobs were added or retained as a result of the assistance they received from CIRAS and partners.
- Over 750 participants were trained in FY11 by attending conferences and workshops offered through a partnership of CIRAS, Civil, Construction, and Environmental Engineering, Electrical and Computer Engineering, Alliant Energy, Black Hills Energy, CIPCO, the Iowa Association of Electric Cooperatives, Iowa Association of Municipal Utilities, Iowa Energy Center, MidAmerican Energy, and the Iowa Office of Energy Independence. Energy short courses educated participants on motor systems management with a goal of improving energy efficiency in facilities. Continuing education was provided for civil engineering practitioners in engineering survey, structural engineering, transportation

engineering, geotechnical engineering, water resources and flood management, and environmental engineering. Attendees were able to obtain professional development hours towards retention of their Iowa engineering licenses.

- CIRAS government contracting specialists work with Iowa businesses, from one person operations to some of the state's largest employers to help them understand the government procurement process and to secure contracts. As the only organization in the state of Iowa providing contracting assistance at all three levels of the government market segmentation – local, state, and federal – CIRAS staff provided counseling to more than 800 companies. Companies reported over \$203 million (an eight percent increase over FY10) in government contract impact due in part to the assistance they received. The Defense Logistics Agency, which funds CIRAS to provide assistance to Iowa companies, indicated this impact helped create or retain over 4,000 jobs.
- In 2011 CIRAS, working with the U.S. Department of Agriculture (USDA) and ASTM International, developed and initiated the USDA Biobased Product Certification and Labeling Program. The new label makes it easier for customers to identify biobased products, as well as serving as a valuable marketing tool for the manufacturers and vendors of the products.

As the manager of the biobased product certification and labeling program, CIRAS facilitates the label usage applications from manufacturers, vendors, and industry associations. Staff also implements quality control and corrective action procedures to maintain the level of excellence expected of the USDA brand.

In addition to the labeling and certification program, efforts by CIRAS staff increased the database of biobased products available for consideration under the BioPreferred program to 483 Iowa products sold by over 90 Iowa manufacturers and vendors. Nationally 26,654 products sold by over 3,300 companies have been identified.

- CIRAS is working with the BEST of Iowa (Business Expansion and Strategic Trends), a partnership of Iowa utility concerns, Iowa Department of Economic Development, Iowa Workforce Development and Iowa Department of Education to provide a statewide coordinated business retention and expansion program. Economic Developers throughout the state use the Synchronist data system to interview executives of Iowa industries to create a Competitive Capacity Scorecard for the state. CIRAS worked with this group to include interview questions concerning research and development and product design. Comparison of industry segments to other states has begun. This information will assist economic developers in focusing on high value, high growth companies that may be facing challenges with their mature products.
- During FY11, the Small Business Development Center (SBDC) provided business assistance to companies, involving 2,786 clients and 11,641 counseling hours. They also conducted 351 training workshops in which 4,017 individuals participated.
- The ISU SBDC, along with the ISU Pappajohn Center for Entrepreneurship, provided 571 hours of counseling assistance to start-up and existing companies;

- served 127 clients with one-on-one counseling; educated 404 attendees through workshops; provided advice to several hundred clients via telephone and email; and advised 7 technology companies in the areas of licensing, equity based financing, market entry, and numerous operational areas.
- Every year the SBDC commissions Professor James J. Chrisman to review the economic impact of the SBDC's clients who receive five or more hours of counseling from the SBDC, which account for only 20% of the total SBDC client base. In a report on this client segment published by Professor Chrisman, *Economic Impact of Small Business Development Centers (SBDC's)*, it was shown that for every \$1.00 in state and federal funding in FY09, the total tax dollars returned to the State of Iowa and the federal government by SBDC clients in 2010 was \$.94. Among these clients there were 831 jobs retained, 403 jobs created, and nearly \$12 million in new sales. The SBDC helped these clients raise over \$70 million in financing for their businesses.
 - Technologies originating at ISU and licensed to Iowa companies have resulted in over \$86 million in sales by those companies in calendar year 2010. Total sales of ISURF-licensed technologies were \$627 million, not including germplasm.
 - The Office of Intellectual Property and Technology Transfer began supporting SBIR (Small Business Innovation Research) and STTR (Small Business Technology Transfer) outreach efforts in FY06. Since then, SBIR and STTR funding in Iowa has rebounded. In FY11, eighteen different Iowa companies won twenty-seven new or continuing SBIR and STTR awards worth \$7.1 million. This is a slight decrease from FY10, but the figure remains significantly higher than in FY06 and FY07 and is the second year it has surpassed \$7 million. An emphasis has been placed on outreach and training activities. This includes a monthly newsletter and workshops presented by Federal program managers. In addition, comprehensive proposal preparation support has contributed to an increasing number of companies applying for funding. Twenty-two Iowa companies were assisted in the preparation of twenty-five proposals during FY11, including five Iowa State faculty or staff-related companies. The funded projects reflect Iowa's strengths in biotechnology, information systems, materials development and agriculture. Over \$2.8 million in support was awarded by NIH for diverse projects that range from the development of medical devices and vaccines to new cancer drugs and new animal models for human diseases. An additional \$2.3 million was received from the National Science Foundation for projects that include bioreactors, novel sensors, improved quality control for medical imaging procedures and electricity generation.
 - The ISU Grow Iowa Values Fund program has a competitive research component that pairs ISU faculty members with Iowa industries to create economic benefit for the companies. Surveys completed by companies on projects funded from June 2006 – June 2009 (surveyed one year after project completion) documented more than 100 jobs created or retained and an annual sales impact of more than \$14 M impact due to the research projects conducted in partnership between ISU and the companies.

1B. Training Opportunities for Staff of Local Economic Development Agencies and Other Activities that Indirectly Promote Economic Development

- As part of the College of Engineering efforts to help grow the wind industry in Iowa, the college hosted a training session on Vistagy FiberSIM, a design and manufacturing software for composite layout. The session was attended by ISU researchers, engineers from TPI Composites, and Sandia National Laboratories.
- The College of Engineering and ISU Extension and Outreach Center for Industrial Research and Service (CIRAS) in partnership with the Iowa Alliance for Wind Innovation and Novel Development (IAWIND) acquired metrology equipment to support Iowa industry. The Faro laser tracker is used in student courses, to support research, and to assist Iowa companies. Support to industry will be enhanced by the recent acquisition of an articulated arm with a laser scanner.
- CIRAS developed and delivered a training curriculum for Iowa businesses to provide education on new compliance requirements regarding the Federal Funding Accountability and Transparency Act (FFATA). The FFATA legislation requires information on federal awards be made available to the public via a single, searchable website for the purpose of increasing government accountability. Five workshops and one-on-one counseling sessions were held throughout the state with over 100 businesses receiving assistance. This training provided companies with the necessary tools to meet their reporting requirements as federal vendors.
- As flooded rivers throughout the Midwest strained levees to the breaking point, CIRAS educated businesses regarding the importance of flood emergency planning. A flood emergency planning checklist was distributed directly to over 300 western Iowa companies. In addition, Safeguard Iowa, Iowa Workforce Development, Iowa Innovation Gateway, Iowa Association of Business and Industry, North and South Dakota Manufacturing Extension Partnership, Nebraska Manufacturing Extension Partnership, Nebraska Procurement Technical Assistance Program, and the Siouxland Chamber of Commerce provided the checklist to over 2,000 additional business leaders and company executives.
- In 2011 CIRAS was engaged in nine significant research projects in support of the biobased products industry. Efforts were focused on two major areas of importance to industry: economic impact and barriers to development and adoption.

Collaborating with faculty from the Colleges of Engineering and Design, CIRAS researched improvements in performance and processing of biobased products as well as breaking down barriers to consumer adoption. Outcomes included the development of a methodology for cutting and welding biobased plastic film using ultra sonic energy, resulting in a patent disclosure being filed with ISURF, and the development of testing resources at ISU for evaluation of compostability of plastics.

Using the expertise of faculty and staff from the Survey and Behavioral Research Services, the College of Agriculture and Life Sciences Department of Economics, and the College of Liberal Arts and Sciences Sociology Department, CIRAS research focused on developing benchmark data, industry input, and increased knowledge of potential growth and impact of the biobased products industry. Reports on the analysis of the biobased products industry survey data and the biobased manufacturer index pilot survey were released.

Ongoing research in consumer acceptance of biobased products, recycling impacts for biobased products, and continuing industry input surveys will help expand and improve the growth and impact of this important economic sector.

Nearly 500 people attended Iowa's Advanced Manufacturing Conference: Manufacturing in the Global Economy. CIRAS partnered with the Iowa Association of Business and Industry (ABI), the Des Moines Area Community College (DMACC), and Rockwell Collins to provide education and discussion on a broad range of issues affecting manufacturing in the Midwest.

- The Electric Power Research Center (EPRC) is a consortium of eleven utilities that sponsor multidisciplinary power systems research at Iowa State University. Nine of the eleven companies provide services in Iowa; the remaining two are international. Funds provided by the companies are used to conduct research on the reliable and economic operation of power systems. In addition, the research deals with the integration of increasing amounts of wind energy into the grid and the implications of the electrification of transportation. EPRC research helps assure that Iowa, the U.S., and the world have a supply of electric power that is cost-effective, reliable, and sustainable.
- Keeping the pipeline full of youth interested in STEM fields is a key component of Iowa's economic development plans. Participants from every Iowa county engaged with the College of Engineering and its industrial partners to inspire the next generation of Iowa's STEM workforce. The College of Engineering plays a vital role in this effort because of the need for engineers in Iowa companies. The College provides leadership for K-12 efforts, including Project Lead the Way, FIRST Lego League, Junior FIRST LEGO League, engineering kids camps, Mom's Night out for STEM, and more. In FY11, over 620 K-12 students engaged in summer camp activities, 242 FIRST LEGO League teams were formed, and over 143 Project Lead the Way sites offered pre-engineering curriculum to middle and high school students.

2. Please provide the following information for FY11: (If your institution utilizes additional metrics specific to your institution's specialized areas of research or service, please include them here)

Note: Unless noted, the data provided below are FY11 data.

- a. Number of disclosures of intellectual property: 106
- b. Number of patent applications filed: 47
- c. Number of patents awarded: 25

- d. Number of license and option agreements executed on institutional intellectual property, in total and in Iowa: 49 total, 19 in Iowa
- e. Number of license and option agreements yielding income: 217
- f. Revenue to Iowa companies as a result of licensed technology: \$86 million (CY10)
- g. Number of startup companies formed, in total and in Iowa (through licensing activities): 2 total, 2 in Iowa
- h. Number of companies in research parks and incubators: ISU Research Park: 40 private and 13 university-related; Plant Sciences Institute Innovations Development Facility (IDF): 4 (all university-related or affiliated)
- i. Number of new companies in research parks and incubators: ISU Research Park: 4 private, 1 university-related & 4 affiliates; Plant Sciences Institute IDF: 1 (university-affiliated)
- j. Number of employees in companies in research parks and incubators: ISU Research Park: 618 private and 221 university-related; Plant Sciences Institute IDF: 7 FTE (all university-related or affiliated)
- k. Royalties and license fee income: \$11.3 million
- l. Total sponsored funding received: \$342.3 million of which \$197.4 million is for research
- m. Corporate sponsored funding received for research and economic development, in total and in Iowa: \$24.9 million total, \$12 million in Iowa
- n. Iowa special appropriations for economic development in the following categories:
 - Annual state appropriations for ongoing programs (such as research parks, SBDC, IPRT, IDM, Metal Casting Center): \$2.5 million—includes \$894,929 SBDC (includes state-wide programs), \$130,010 ISU Research Park & \$1,451,043 IPRT
 - Grow Iowa Values Fund appropriations: \$1,459,200
- o. Research expenditures (including state appropriations and external (funding)) \$250.1 million—Note that this is an FY10 number, most recent number available
- p. Licenses and options executed per \$10 million research expenditures: 4 (est.)—Note that this is an FY10 figure, most recent number available
- q. Sales of licensed products by Iowa-based companies: See d. above
- r. Number of employees for current Research Park tenants and incubator, as well as former tenants that are still in existence in basic form world-wide 2,993

3. Please describe the ways in which your institution is engaged in the following activities (For example, what is the nature of the outreach and service activities? Which units provide it? What kinds of people and organizations benefit?)

- A. Direct and hands-on technical assistance to businesses and entrepreneurs
- B. Direct economic development assistance to Iowa communities
- C. Economic development services provided by research parks, incubators or similar service units

3A. Direct and Hands-on Technical Assistance to Businesses and Entrepreneurs: ISU System for Innovation

Iowa State University is charged with advancing economic development and technology transfer activities that promote growth and benefit all citizens. While creation of knowledge remains the basic responsibility of a research university, the way we share knowledge determines our success. ISU shares knowledge and expertise with students (learning and teaching), communities (engagement), and business and industry (technology transfer and economic development). ISU ranks as one of the most successful universities nationwide in several categories of technology transfer and economic development. The activities of the colleges, institutes and centers are coordinated through the Research and Economic Development Council that advises the Vice President for Research and Economic Development. The Vice President and this Council continuously communicate with economic development entities within the State such as the Iowa Department of Economic Development, the Iowa Innovation Council, the Iowa Business Council, the Greater Des Moines Partnership, the Ames Economic Development Commission and other local and regional agencies.

The Iowa State University “System for Innovation” was developed to focus on the transfer of university technologies into commercial applications in start-up or existing companies. Functions of the ISU System for Innovation include:

- **Business Development & Assistance and Entrepreneurial Activities:** Efforts related to start-up companies, including business assistance services & SBIR/STTR applications.
 - **Technical Assistance & Technology Development:** Solving technical problems, assisting in product development and process improvement projects for existing businesses. This includes the current efforts of no-cost technical assistance and cost-sharing projects.
 - **Industry Relations:** Facilitation of a multitude of interactions between ISU and its industry partners, including the management of research relationships and interactions with economic development groups, legislative groups, and other third parties.
 - **Community Development:** To disseminate and develop programming, facilitating community organizations, fostering community planning, and coordinating with community and regional economic development networks and organizations.
 - **Technology Transfer and Licensing:** The transfer of intellectual property (patentable inventions, copyright works and proprietary materials) to business and industry through license agreements.
 - **Physical Space:** Physical space for business incubation is available in the ISU Research Park, the Plant Sciences Institute, and the Center for Crops Utilization Research.
 - **Research and Instrumentation Facilities:** Iowa State University maintains more than 20 central research facilities that also serve communities and businesses on a fee-for-service basis.
- Senior capstone design projects are the culmination of engineering education for undergraduate students. Iowa companies, through a partnership between CIRAS and the College of Engineering, provide students the opportunity to apply their

engineering knowledge to real-world applications as a final step in preparation for joining the workforce.

As Iowa experienced the second highest net out-migration of young, single, and college educated residents (only behind North Dakota) from 1995 to 2000, this program has a further goal of slowing the Iowa brain drain. Students are able to obtain a better understanding of job opportunities within the state and businesses discover the value of making an investment in their workforce by providing higher level, higher wage jobs.

By working with the students, companies gain a new perspective on difficult engineering problems with many achieving innovative solutions that enhance productivity and lower costs. Companies have a heightened understanding of the value engineers bring to an organization and are able to showcase their company to students nearing graduation.

In addition to the senior capstone design projects, engineering students have worked with companies on projects related to cellular lean, materials, and facility planning.

In FY11, students worked on 33 projects with 22 different companies. Companies reported impact of nearly \$10 million for these projects.

3B. Direct Economic Development Assistance to Iowa Communities

- In FY11, CIRAS was awarded a 3-year grant under the Economic Development Administration (EDA) University Center program to develop and implement the Sustainable Economies Program in the state of Iowa. This program provides Regional Trade Centers (RTCs) in rural Iowa with an in-depth economic assessment of the financial, social, and environmental “triple bottom line” well-being of the region coupled with technical assistance to the critical organizations and businesses of the region.

The program provides sustainability assessments, technical assistance, and mentoring within the communities and businesses that drive the regional economy. During the first year of the program, CIRAS staff, Extension Community and Economic Development staff, and College of Agriculture and Life Sciences economists researched, developed and launched a pilot implementation in the region of Carroll, IA.

Through the Sustainable Economies Program, applied research is ongoing in business and economic sustainability, employee wellness and supply chain sustainability.

3C. ISU's Key Units Engaged in Economic Development

Iowa State University, as part of the higher education system in the State, is charged with advancing technology transfer and economic development activities that promote

growth and benefit all citizens. The University evolves these goals by contributing to workforce development, creating intellectual property, advancing ideas to the stage of market readiness, supporting creation of new companies, offering assistance to existing companies, and attracting new companies to the State. The University's economic development/technology transfer support system includes the following units that are coordinated through the Research and Economic Development Council:

- **Pappajohn Center for Entrepreneurship and the Small Business Development Center at ISU (SBDC).** These units work with researchers to define the technologists' role in the company, evaluate markets, assist in the creation of a business plan and help the company develop connections with a network of business resources including consultants, accountants, attorneys, prospective employees and investors. In a typical year, the Pappajohn Center, working with IPRT, the Plant Sciences Institute, ISURF/OIPTT and other research centers, identifies approximately 25 prospective new technologies. These technologies can take six to 26 months to develop sufficiently to justify the formation of businesses. During this time the researcher receives assistance from, among others, the Small Business Development Center at ISU in moving the technology from the researcher's bench to the marketplace. The Pappajohn Center helps the researcher develop the model for the business and establish the network of resources necessary to implement the plan. These resources can include business assistance, students or capital. The Pappajohn Center/SBDC also continues to provide a referral network and facilitates the recruitment of students including access to internships.
- **Institute for Physical Research and Technology (IPRT).** Through IPRT's Company Assistance Program, Iowa companies can leverage the expertise of the IPRT research centers and other ISU capabilities in order to solve technical problems, create new products and processes, and increase productivity and quality. IPRT Company Assistance provides help through both its Research and Development cost-sharing program and through short-term, no-cost technical assistance. IPRT actively collaborates with Iowa companies on technology development projects. Many successful businesses have emerged from IPRT technologies, including Mechdyne of Marshalltown, BodyViz of Ames and PowerFilm, Inc. of Ames.

The staff members of the Materials Group and the Nondestructive Evaluation Group within Company Assistance provide significant and broad expertise to help Iowa manufacturers address material and inspection issues. These programs offer state of the art knowledge to business, and both groups have expanded their capabilities and facilities to keep pace with research advances and modern industrial needs. This direction allows them to interact with various industrial clients and tackle an increasingly wide range of challenges.

- **Iowa State University Research Park.** The Iowa State University Research Park is a 230-acre development with over 325,000 square feet of building space and is located south of the Iowa State University campus. The ISU Research Park is more than just land and buildings; it is a technology community that encourages commercialization of University research.

- **Extension and Outreach Center for Industrial Research and Service (CIRAS).** CIRAS provides applied research, education, and technical assistance to Iowa industry through partnerships with Iowa's universities and community colleges, government agencies, and business associations. Account managers throughout the state meet with clients to assess needs and provide links to resources that companies can use to increase their competitiveness. Solutions are offered through a combination of direct assistance from center staff, university faculty, partner organizations, and outside consultants.

CIRAS staff has expertise in engineering, biobased products and biorenewables, energy systems, management practices, government contracting, productivity, growth services, supply chains, quality systems, and community-business economic development. Service to industry includes technical assistance in conjunction with ISU College of Engineering labs, regional economic development studies to better understand rural economies, engineering workshops for utilities, county and city engineers, educational workshops and mentoring for small to medium sized businesses.

CIRAS manages the statewide National Institute of Standards and Technology's Hollings Manufacturing Extension Partnership (MEP), a program of the Department of Commerce. The MEP mission is to act as a strategic advisor to promote business growth and connect manufacturers to public and private resources essential for increased competitiveness and profitability. The objective of the program is to enhance productivity, technological performance, and strengthen the global competitiveness of small-medium sized manufacturers. CIRAS provides companies with the training, tools, and connections to accelerate innovation, leading to new opportunities in domestic and export markets.

The USDA BioPreferred program, enacted as part of the 2002 and 2007 Farm bills, has a goal of increasing the purchase of biobased products by the federal government. CIRAS has helped USDA build this program since its inception in 2002. CIRAS staff manages implementation of the program by gathering industry input, developing government focused marketing strategies, testing biobased content, and facilitating participation in the program. Staff educates public and private stakeholders, manages the biobased product certification and labeling program, and assists with the development of programmatic infrastructure and policy.

The Defense Logistics Agency, on behalf of the Department of Defense, administers the Procurement Technical Assistance Program (PTAP). The purpose of the program is to generate employment and to improve the general economy by assisting business firms in obtaining and performing under federal, state, and local government contracts. CIRAS is responsible for this program in the state of Iowa. Staff helps businesses determine if they are suitable for government contracting, provides workshop training and outreach events, assists businesses with capturing government sales, and provides post award contract assistance.

CIRAS manages the Economic Development Administration (EDA) University Center Program in Iowa. The EDA's mission is to lead the federal economic

development agenda by promoting innovation and competitiveness, preparing American regions for growth and success in the worldwide economy. In FY2011, CIRAS was awarded a 3-year grant to develop and implement the Sustainable Economies Program. This program integrates detailed economic studies with financial, social, and environmental technical assistance to communities and businesses in rural trade centers across Iowa. This integrated, scientific-based approach to sustainability and the triple-bottom line helps the businesses, communities, and overall regional economy begin the process of reliable, long-term growth.

- **ISU Research Foundation (ISURF) and the Office of Intellectual Property and Technology Transfer (OIPTT).** ISURF owns and ISURF and OIPTT jointly manage, market and license the intellectual property for Iowa State University. ISURF/OIPTT works with faculty members in regard to the reporting and protection of innovations, including patenting inventions. It markets the innovations to find commercial partners interested in licensing. It also funds projects within the University that have potential for broadening the intellectual property protection or providing value for its commercial potential. ISURF also provides assistance to Iowa companies, including ISU faculty start-ups with SBIR and STTR applications.
- **Innovations Development Facility (IDF).** This is a business incubator operated by the Plant Sciences Institute to promote the commercialization of plant biotechnology. IDF encourages ISU faculty, staff, and students to commercialize their research in the plant sciences and promotes the development of start-up companies among aspiring entrepreneurs. IDF is housed in the Roy J. Carver Co-Laboratory and consists of six well-equipped laboratory modules. The facility offers an environment to transition research from a university to a business setting. The IDF facility is a productive research location where scientists from academe and industry can work together to advance the mission of the Plant Sciences Institute and to promote economic development in Iowa.
- **Extension to Communities and Economic Development (CED)**

Iowa's Living Roadways Community Visioning Program

For 15 years, the Community Visioning Program has helped rural communities plan transportation enhancements using state funds from the Iowa DOT. To-date, 180 Iowa towns have completed the process and collaborated with design teams to create conceptual transportation enhancement plans. Documented impacts of the program since 1996 include:

- Ninety-four percent of participating communities complete at least one project.
- Internet research of state funding shows that to date, 124 visioning communities received funding from five state programs to do 285 projects. Seventy-seven percent of the projects were directly related to visioning concept plans and 27% were not directly related to the program.
- More than \$16.9 million in state funds was awarded to visioning projects and \$12.4 million to non-visioning projects for a total of nearly \$30 million.
- Estimated cash matches from awardees exceed \$12.6 million for an estimated \$42 million generated.

West Liberty Economic Area Development (WE-LEAD)

WE-LEAD is a non-profit 501(c)(3) corporation organized in 2006 to create, develop, and maintain strong business relationships, and to establish a climate in which new and existing businesses can flourish. As part of this initiative, the City of West Liberty (75%) and ISU Extension Community and Economic Development (CED) (25%) jointly hired a community development specialist. In 2010, WE-LEAD worked with 173 clients, including shareholders, entrepreneurs, local leaders and elected officials, community residents, and students. In 2010 WE-LEAD assisted with 11 business plans, five of which were completed, and added more than 35 jobs in West Liberty. Leadership West Liberty is a community-focused leadership program designed to grow the next generation of leaders in West Liberty. Twenty-nine students have graduated from the four-year-old program. Completion of a community project is a requirement and more than 15 projects have been completed. Keokuk and Jones County are considering the WE-LEAD model. Extension CED is in the process of negotiating a similar contract with the City of Keokuk.

Tourism

ISU Extension CED specialist Diane Van Wyngarden, Ph.D. developed a model travel program for Iowa and marketed it to a national audience through Road Scholar. Current programs include: Exploring Uncommon Communities: a Touch of History, a Taste of Utopia; Upper Mississippi River Reflections: Historic Towns, Trails and Tales; and Missouri River Reflections: a Ribbon of Legends through Four States. Nationally, the Road Scholar program has suffered due the recession, with roughly half of its scheduled programs canceled. None of ISU Extension's programs have been canceled, and most were sold out with waiting lists. In 2010:

- 229 people from 42 states and two foreign countries participated in the Road Scholar Program. Tuition is \$1,000 to \$1,500 per participant.
- The program has affected more than 100 businesses, and the estimated dollar value of those impacts is \$288,915. The program is self-supported, and the money generated goes directly to travel-related businesses along tour routes.

Sustainability

The ISU Extension and Outreach began a "green initiative" in 23 counties four years ago and has been working with Fairfield on sustainable living and energy-efficient technology. Part of an Iowa Power Fund partially funded a sustainability specialist position shared between ISU Extension and Outreach and the City of Fairfield. The sustainability specialist serves the 9,200 Fairfield residents, as well as southeast Iowa and the state, facilitating community sustainability programs initiated by businesses, industry, and other organizations.

- For example, Fairfield's Green Commission set goals to process 75% more recyclables with a corresponding 25% decrease in waste going to landfills by December 2012.
- After two months of the new program, recyclables increase 67% from the previous monthly average, and in December 2010 the increase in recyclables was 132%. This spring the contract with Fairfield was extended five years.

Extension CED has been approached by the State of Iowa to expand this program.

Local and Regional Housing Trust Funds

The Iowa Finance Authority (IFA) administers a state housing trust fund offering forgivable loans to rehabilitate existing housing; however, many Iowa communities do not have the structure in place to apply for and administer such loans. Through an agreement with IFA, ISU Extension CED is helping communities, counties and regions develop local housing trust funds (LHTF), with which they can apply for seed money from the state to use for affordable housing.

Existing housing trust funds cover 52% of Iowa's population. Primary clientele include counties and regional COGs. Extension CED has incorporated the LHTF development format into regional housing trust fund development. The following regions applied for certification on October 1:

- Region 6 Housing Trust Fund, Inc.—Hardin, Tama, Marshall and Poweshiek Counties
- Northeast Iowa Regional Housing Trust Fund—Allamakee, Clayton, Howard and Winneshiek Counties
- Northwest Iowa Regional Housing Trust Fund, Inc.—Emmet, Lyon, O'Brien, Osceola and Sioux Counties

Lake Delhi Alternative Futures

In summer 2010, the Delhi Dam on the Maquoketa River collapsed under pressure from rising floodwaters. The breach drained a nine-mile lake behind and dam and the resulting flash flood destroyed 16 homes, caused damage to more than 70 others, and released tons of accumulated sediment downstream. In response, the Governor created the Lake Delhi Recover and Rebuild Task Force to develop strategies to assist in the recovery and rebuilding of the area. With ISU Extension Community and Economic Development, the community design studio in the ISU landscape architecture program presented a plan to IDED to collect public input, conduct community and economic analyses of the area, and create scenarios for future development of the Lake Delhi area. The class presented three development scenarios for the area and a final report was presented to the state task force in December 2010.

- **Extension to Families**

Horizons

Thirty-six Iowa communities with populations under 5,000 and poverty rates over 10% trained 301 local facilitators to lead 1,538 community members in a discussion, "Thriving Communities – working together to move from poverty to prosperity for all" discussion.

- 29 communities addressed food insecurity,
- Dunlap's food pantry served 300 people in 2010.
- Eleven Volunteer Income Tax Assistance (VITA) sites completed over 500 returns without charge and claimed over \$250,000 in Earned Income Tax Assistance to eligible families.

- Twelve communities prepared 434 youth for academic success with mentoring, tutoring or early learning programs. Elma built an early learning center which now serves 70 children.
- Ten communities engaged entrepreneurs to increase family income.
- 105 local trained volunteers taught leadership skills to 923 participants. Some became mayors, city council members or provided leadership to local boards, commissions, clubs and organizations thus building stronger communities and families.
- 8,829 community residents shared their thoughts as part of a local visioning process leading to a local action plan to help reduce the local effects of poverty.

Community Volunteers Help Reduce Poverty and Return Dollars to Economy

The Earned Income Tax Credit (EITC) augments the wages of low- and moderate-income workers and, in turn, this flow of income makes a substantial economic impact in local communities. EITC recipients circulate their refunds through the local economy, creating a ripple effect many times the size of the original refund. This money strengthens neighborhoods, assists small businesses, and spurs local economic development. ISU Extension worked with community partners to recruit and train 84 volunteers to provide free tax preparation services to low- and moderate-income families through the Volunteer Income Tax Assistance (VITA) program. In 2011, VITA volunteers working at 37 VITA sites helped 1,875 low- and moderate-income Iowans complete income tax returns. Special efforts were made to increase awareness of the EITC and VITA in rural Iowa. Nine of the VITA sites were established in underserved rural communities that are part of the Horizons project, a Families Extension initiative to reduce poverty and build assets. Twenty Horizons communities conducted EITC awareness campaigns to inform eligible residents about this refundable tax credit. 601 of the filers who qualified for the Earned Income Tax Credit (EITC) received \$816,635 in the 42 counties that participated in the Extension-community partnerships to expand VITA programs in rural Iowa.

Early Childhood Programs

Iowa currently ranks 2nd in the nation for the percentage of young children with all parents in the household employed. An estimated 75 percent of Iowa's children under six-years of age need early care and education while their parents work. The 2009 Iowa Early Care and Education workforce study, found that only 7% of child care center assistant teachers and only 34% of teachers had a bachelor's degree in early childhood or related field. A turnover rate of 31% for assistant teachers and 14% for teachers coupled with low education levels, meant that many of Iowa's children were constantly in the care of a poorly educated, constantly changing workforce. The Better Kid Care New Staff Orientation program has been adopted by Iowa as a key component for stabilizing workforce turnover and providing a basic level of knowledge for new early childhood teachers and assistant teachers who may have limited education and experience. This outstanding program provides new teachers with 30-lessons over a four month period. Teachers view DVD demonstrations, practice and fulfill on-site activities and complete workbook lessons, which are sent into Iowa State University for review. Currently 733 centers and preschools (53% of Iowa licensed programs) participate in the Better Kid

Care New Staff Orientation (NSO) program. As a result of participating in NSO program, 620 new child care teachers have completed a total of 18,600 training hours and report making significant gains in knowledge and program improvements. Ninety-one child care center directors participating in the program report made significant improvements in their skills for effective supervision and support of new early childhood teachers.

- **Agriculture and Natural Resources Extension**

Drainage Professionals

Faculty and staff in ISU Extension to Agriculture and Natural Resources (ANR) provide educational leadership to drainage contractors in Iowa through annually hosting the three-day Iowa Drainage School. In 2010, 40 participants attended the drainage school. Post-meeting evaluations indicated that 75% of respondents indicated the program would help them increase revenues with their work with dollar values ranging from \$50,000 to \$250,000 or up to \$150/acre.

Co-Products from the Ethanol Industry

Co-products of the ethanol fermentation process can be cost effective feeds but have unique characteristics and present challenges in handling storage and delivery. A comprehensive, integrated research and educational program is ongoing. Activities included cattle feeding research, feeding and long term storage demonstrations, workshops, meetings, software development, factsheets newsletters and consultations. In 2007 alone, 67 meetings were held for producers and consultants on the topic. In 2011, participants in educational programs were surveyed on changes in their knowledge, behavior and cost outcomes as a result of educational activities conducted by ISU Extension on ethanol co-product feeding for beef cattle during the period 2006-2010.

- Of those surveyed, 69% had received information or attended an educational event during that time period.
- Of those that had obtained information on this topic from ISU Extension, 88% indicated that the information improved their knowledge of effective ways to incorporate these feeds into the diets of cattle.
- During that time period, 57% of those surveyed increased the usage of ethanol co-products in cattle diets.
- Of those surveyed 91% reported either improved cattle performance or reduced costs of at least 10% as a result of the information received. Of that group, 27% reported a 10% or more reduction in feed costs without decreasing animal performance, 19% reported a 10% or greater improvement in animal performance, and 45% reported both a 10% improvement in animal performance and a 10% decrease in cost of production.
- With today's costs, a 10% reduction in feed costs has a value per animal fed of over \$60. With over 2 million head of cattle fed annually this represents a significant contribution to this growing sector of the Iowa agricultural economy and their local communities.

Financial Decision Making

Beginning farmers often lack access to credit at reasonable rates and terms, to use for purchasing operating inputs and financing purchases of land, livestock, and equipment. To be eligible for financing from the Farm Service Agency, beginning farmers must show knowledge of sound financial management principles by completing an approved course in farm financial management. ISU Extension developed an Internet-based home study course titled Financial Decision Making that allows borrowers to meet this requirement. The course consists of modules covering topics such as developing financial statements to financing long-term assets. Enrollees must satisfactorily complete on-line quizzes and homework assignments.

- As of August 21, 2011, a total of 345 FSA loan applicants have completed the Financial Decision Making course.
- In January 2011 graduates of the course were asked to estimate their annual gross farm income and farm net worth before and after completing it. The average change reported was an increase of \$247,101 in annual gross farm income and \$381,458 in net worth.
- Based on data from the Iowa Farm Business Association, the average net farm income as a percent of gross income during the years that enrollees completed the course was 25%, and the average return on net worth was 9.8%. Applying these rates to the average increases reported results in an estimated increase in annual net income per operator of \$38,182 per operator, or over \$13 million annually for all the families who have completed the course.

These dollars will be reinvested in the state economy and keep more young farmers employed in Iowa agriculture.

Community Vitality Center

The Community Vitality Center (CVC) is a statewide catalyst for identifying and demonstrating new strategies for improving the economic vitality of Iowa's communities and rural areas. CVC received the 2010 Iowa Venture Distinguished Leadership Award from the Iowa Area Development Group for the creation of Iowa MicroLoan and other entrepreneurial and philanthropy development activities. Iowa MicroLoan was founded in 2008 as an independent 501(c)(3) foundation by the Community Vitality Center (CVC) to serve as a statewide microfinance. Since then, Iowa Microloan has received more than \$3.5 million in grants and loan capital as an intermediary for the SBA MicroLoan Program and USDA Rural Micro-Entrepreneur Assistance Program (RMAP). Iowa MicroLoan provides a business plan "second look" and technical assistance for entrepreneurs who have been denied credit from conventional lenders.

- During 2010, IFMCV had loans outstanding to 26 businesses.
- Seventeen of the businesses were startups.
- Fourteen of the businesses were from rural counties (54%) and 12 were from metro counties (46%).
- Of the total co-signors and guarantors involved, 56% were women and 44% were men, 5% were minority, and 5% were people with disabilities.
- Of the total, 15% were below the HHS poverty level, 29% were below HHS 150% poverty level, and 46% were below the HUD low income level.

During 2010, CVC assisted IDED and Iowa Microloan in implementing the Iowa Small Business (ISB) Loan Program approved by the Iowa General Assembly and signed by the Governor in 2010. CVC provided input for the Administrative Rules, facilitated loan application and underwriting process subcontract between IDED and Iowa MicroLoan, facilitated coordination of the ISB Loan Program among IDED, Iowa MicroLoan and Iowa Small Business Development Centers, and conducted an evaluation of the program.

- During the eight months in operation from August 1, 2010 to March 31, 2011, the ISB Loan Program provided loans to 42 businesses that created or retained 130 direct jobs and generated \$3,423,837 in new business financing investment by leveraging \$1,639,889 in direct loans with \$1,783,948 in co-financing by local financial institutions.
- As a result, it is estimated that 228 total direct, indirect and induced jobs were created and/or retained by the implementation of the Iowa Small Business (ISB) Loan Program.
- Twelve of the applications approved were for startup businesses. Applications were received from 29 of Iowa's 99 counties with 30 applications from enterprises located in rural counties and 24 from metro counties. Two of the companies receiving ISB Loans have more recently been highlighted in separate features by the Des Moines Register for innovations in their respective industries.
- CVC and Iowa MicroLoan's involvement and performance in the ISB Loan Program led to participation in IDED's recently approved application for \$13.1 million from the State Small Business Credit Initiative (SSBCI) program of the U.S. Treasury Department in which \$3.2 million is allocated for continuation of the ISB program.

The Office of the Vice President for Research and Economic Development (OVPR/ED) works closely with all of the above units, including the Office of the Vice President for Extension and Outreach, in promoting the University's mission related to technology transfer and economic development.

- The Research and Economic Development Council (chaired by the VPR/ED) coordinates ISU research, technology transfer and economic development activities. Members meet periodically to discuss problems, update each other on activities, assess the state and national environment for technology transfer, and propose policy and procedures to encourage technology transfer and economic development activities at ISU. This council, formed in 1993, is comprised of representatives from all units on campus that have a primary role in economic development and technology transfer as well as representatives from each of the seven colleges.
- The recently initiated comprehensive management strategy for key industrial partners is continuing to show results. This effort is co-led by the Industry Relations Team and the Corporate and Foundations Relations group in the ISU Foundation. The goal is to develop ten strategic partners during the period FY11 – FY16. Based on the established metrics, we are half way toward achieving that goal.

The above units are the key units that focus attention on economic development and technology transfer at ISU; however, significant additional related activity also occurs across campus in individual academic departments, centers and institutes, and colleges.

4. Please briefly describe two or three examples of major economic development collaborative projects with such other entities as Regent universities, Iowa community colleges, the Iowa Department of Economic Development, Iowa Workforce Development, or other state agencies.

Major Economic Development Collaborative Projects

NSF EPSCoR. ISU collaborated with UNI and the U of I on an NSF EPSCoR proposal that received funding (\$20 M) in September 2011. The grant will develop a statewide energy plan for the State of Iowa, covering two renewable energy platforms--wind and bioenergy--and a third platform dealing with energy efficiency. The ultimate outcome will be an energy plan leading to energy efficiency and sustainability for the State. Other partners include the Iowa Economic Development Authority, the Iowa Energy Center, community colleges and other four-year institutions in Iowa, and industry.

Grow Iowa Values Fund. This legislation is providing the universities and private colleges financial resources to expand technology transfer and commercialization efforts. We are in the seventh year of GIVF funding, in addition to providing core support for infrastructure in the Research Park, Pappajohn Center and the VPR/ED office. Each year projects are funded that pair ISU researchers and Iowa companies. More information appears later in this report.

Innovate Iowa Proof of Concept Initiatives. Iowa State is establishing an initiative that will focus on increasing the transfer of technology while reducing the time required to commercialize it. Technology and business development will occur in parallel by engaging staff from the ISU Research Foundation, the ISU Research Park, the Pappajohn Center for Entrepreneurship and technology experts. This initiative will provide a single, visible interface for faculty, staff and students seeking opportunities and provide simplified, coordinated communication.

A reinvigorated process for prospect development and start-up company acceleration. The ISU Research Foundation, the ISU Research Park and the Pappajohn Center for Entrepreneurship are engaged in a strategic partnership to reinvigorate our approach to engaging students, staff and faculty in entrepreneurial start-up activities. Information about this new process will be available in early 2012.

State-wide committees – Many people from ISU serve on committees that promote economic development programs such as the Iowa Innovation Council, the Biosciences Alliance of Iowa, the Iowa Innovation Council's Iowa Advanced Manufacturing Committee, Iowa Meat Processors Association, Institute of Food Technologists-Iowa Section, the Iowa Lean Consortium, the Partnership for Industrial Energy Efficiency, Professional Developers of Iowa, the Iowa Business Council, the Iowa Alliance for Wind Innovation and Novel Development (IAWIND), Innovate Iowa!, etc.

5. Please provide the following information about Grow Iowa Values Fund projects for FY 2010:

A. Identify and briefly describe each project or initiative which received GIVF funding in FY 2011 including information on outcomes or progress made

B. Identify metrics which were used to measure outcomes for each project and report progress on each metric for FY 2011

C. Provide a description of the sources of the matching institutional dollars for each GIVF-funded project

The ISU Grow Iowa Values Fund (GIVF) program has a competitive research component that pairs ISU faculty members with Iowa industries to create economic benefit for the companies. See **Appendix 1 and Appendix 2** for complete report.

6. Optional: If desired, please include observations regarding:

A. Availability of startup and venture capital for technology entrepreneurs

B. Suggestions for new programs or activities that could further enhance the impact of university technology transfer and service on creation of jobs and wealth in Iowa.

6A. Iowa continues to suffer from a lack of investment capital for start up and rapidly growing technology/innovation based firms.

- The Values Funds to the universities have provided a valuable source of funding for proof of concept/early stage development funding for the innovations that will become the next generation of businesses.
- There has been an increase in the number of Angel/Seed funds throughout the state. Available capital and experience varies widely and there is little coordination between the funds. The seed funds have typically brought more individual investors into play.
- The funding provided by Wellmark through the Pappajohn Center's has been a very valuable tool for early stage investment.
- There are very few true venture capital firms located in the state of Iowa actively investing funds at this point in time. Iowa continues to suffer from a lack of investment capital for start up and rapidly growing technology/innovation based firms.
- Each fund has a particular focus, the investment profile further limiting choices and resulting in very little competition.
- Most venture firms invest with other venture firms, one as lead with the others in secondary positions to spread risk and assure the ability to continue to fund the needs of the company--this is a major problem in Iowa.
- Firms must look outside the state for significant investments of \$5 million plus.

- Really good businesses with really good management teams will attract money; a major problem is the development of an experienced/skilled management team.

6B. Restoration of funds for economic development and technology transfer activities due to budget cuts in the past several years would greatly enhance the University's efforts in this area. The following is a summary of what benefits would occur if funds were restored in the units affected by budget cuts.

- **Small Business Development Centers.** The legislature cut a total of \$16,373 from the SBDC budget for FY09 and another \$99,436 for FY10. In FY10 the state appropriation after the 10% reduction was \$894,930. In FY11, the legislature appropriated an additional \$100,000 restricted solely to business counseling and for no other purpose, raising the total line item appropriation for FY11 to \$994,930. The FY12 state line item appropriation was reduced to \$936,345. In addition, the \$266,000 the program received from the Grow Iowa Values Fund in FY11, all of which was distributed to the service centers, was reduced to \$105,000. Total state resource dollars directed to the program for FY12 is \$1,041,345, down from \$1,260,929 in FY09. In addition, pursuant to census changes, the program's allocation of federal funds is reduced by \$34,063 for FY12. The total reduction in funding for FY12 over FY11 is \$195,063.

As demonstrated by an independent study, for every Iowa tax dollar spent on the Small Business Development Center program, \$2.47 is generated in increased tax collections the following year from SBDC counseling services alone. The majority of any restored and new funds would be directed toward client counseling, resulting in an increase in tax revenues over tax expenditures.

State budget cuts for FY12 have been addressed by forcing austerity budgets on the program's service centers and requiring them to divert program funds from other uses. These budgets are too lean to allow for adequate services. Thus, if state funding is not restored to at least FY09 levels, including \$350,000 originally allocated to the program through Grow Iowa Values Funds, multiple service centers will have to be closed, thereby diminishing the net beneficial impact of the program.

- **Iowa State University Research Park.** The restoration of approximately \$230,000 in funding to the Iowa State University Research Park would provide direct benefit to Iowa State University efforts to establish and support new technology ventures. New funds would be utilized to support the costs of providing incubator space and the support services required by new and early stage companies. The additional funds will increase the capacity for business incubation resulting in more new companies created and higher quality support for the young companies.
- **Center for Industrial Research and Service.** CIRAS has successfully leveraged its state budget to bring in additional federal grants and fees to expand technical assistance, education programs and economic development studies to support Iowa businesses. In FY11, CIRAS helped generate an additional \$2.70 for each \$1 of state funds provided. Of the approximately \$4.5 million of additional funding generated, more than \$1.2 million was distributed to other

business outreach units on campus to help them expand their work with Iowa companies.

CIRAS has lost over \$1.6 million of funds (in 2011\$) from their annual budget in the past decade. This includes state appropriations and matching funds provided by the Iowa Department of Economic Development. These funds were used as match on the Department of Commerce/NIST Manufacturing Extension Partnership award and the Department of Defense Procurement Technical Assistance Program award. This loss of state funds reduces the extent of CIRAS assistance to companies and communities and limits the amount of additional funds that might be brought to Iowa via new business assistance grants.

The loss of annual funding from state appropriations and agencies equates to a reduction of approximately 13 full time staff - includes salary and fringe benefits, and associated expenses. This can cause a further reduction of roughly 13 staff due to a loss of federal awards requiring matching funds from the state. Based on an analysis of data provided by Iowa companies, these 26 staff positions might have generated nearly \$60 million of impact and more than 700 jobs in Iowa companies — each year.

Using this same data, for every \$100,000 of additional state funds that are made available, CIRAS would be able to leverage the funds to bring in an additional \$150,000 from grants and fees and hire two new business professionals to provide services in the areas of engineering, biobased products and biorenewables, energy systems, management practices, government contracting, productivity, growth services, supply chains, quality systems, and community-business economic development. These two staff would help create nearly 50 jobs and \$5,000,000 of new sales, cost savings, and investment impact in Iowa companies.

- **Institute for Physical Research and Technology (IPRT).** The IPRT economic development programs suffered losses of over \$500,000 over the past three years. These losses follow \$2,500,000 in budget cuts in 2003, which were never restored. Ironically, these cuts came at times when the need for IPRT's expertise by Iowa industries was rapidly growing. Although pieces of the program have survived the cuts, it now serves only a fraction of the Iowa companies it once served and the current personnel are overextended. Companies seeking help outside the core competencies of the IPRT Company Assistance staff cannot be assisted. In the past these potential clients were guided to working with faculty members via subsidized projects. Because of the budget cuts, IPRT has restricted the technical assistance it provides to Iowa companies to those services that fall within the core competencies of IPRT staff rather than pursuing these collaborative, cross-disciplinary projects. Also, fewer R&D cost-share projects that can lead to new products are pursued due to the declining funding. Over 75% of the Iowa manufacturers that IPRT serves have less than 100 employees. This means that the typical industrial client will likely not have the needed expertise internally to address their material and inspection issues.

The materials assistance unit of the IPRT economic development program provides short-term no cost technical assistance to Iowa manufacturers and is often the first interaction that manufacturers have with the University.

Restoration of funding would allow for growth of materials assistance, enhancing their delivery of services. They seek to offer a wider scope of services directly meeting the needs of Iowa manufacturers.

The NDE (nondestructive evaluation) unit of this program functions similarly to the materials group, in that short-term technical assistance is provided to Iowa manufacturers on a no-cost basis. The focus of the NDE Group is to assist companies in areas of inspection and quality control. To that end, the NDE Group serves as an unbiased source of information, offering clients a broad range of expertise in various inspection methodologies. Manufacturers often do not have staff acquainted with these capabilities, so the group in effect complements the engineering capabilities of their clients. The group assists client companies in addressing problem areas, ensuring product development and quality. This assistance requires robust budget support to maintain the needed flexibility to successfully address the wide range of industrial concerns that are presented to it.

The technology commercialization unit administers cost-sharing, contract research projects, working with Iowa's small to medium-sized manufacturers. These small companies have very limited Research and Development dollars and facilities, and now, this unit does not have the funds needed to leverage Iowa companies' limited resources. These are projects with obvious economic impact—introduction of new products, addressing manufacturing processes, and improving quality—all areas that impact Iowa's global competitiveness in the manufacturing sector. Before the budget cuts of the last several years, the staff proactively marketed the research and development strengths of ISU's faculty to potential Iowa industry partners. This outreach effort was eliminated due to constraints on staff time and funds available for these projects, which may have had other unintended consequences.

A unique feature of the economic development program in IPRT is the active participation of scientists from internationally renowned ISU centers such as the Center for Nondestructive Evaluation, the Virtual Reality Applications Center and the Center for Catalysis. These centers have excellent track records of spinning off new Iowa start-up companies in the areas in which they excel. Restoring the budget cuts to IPRT units would have a rapid positive impact on Iowa's manufacturing sector. An investment now will result in continuing benefits to Iowa's companies, important opportunities to retain our brightest students, and new start-up companies based on increased technology transfer from IPRT centers.

**The University of Iowa
2011 Annual Economic Development Report**

EXECUTIVE SUMMARY

Research drives innovation at The University of Iowa. In FY11, The University of Iowa generated impressive extramural support of \$456.5 million. This outstanding productivity continues to place the UI among the nation's elite public research universities and is especially significant in the face of challenging economic conditions in Iowa. This robust research enterprise and integrated economic development activities at the UI have a significant and far reaching impact on the state of Iowa's economy. The IOWA Centers for Enterprise (ICE) provides infrastructure and services to enhance technology transfer and commercialization of UI technologies, new company formation, support of Iowa companies and workforce development. ICE currently includes the following departments.

- The University of Iowa Research Park (formerly Oakdale Research Park) (UIRP)
- The University of Iowa Research Foundation (UIRF)
- The John Pappajohn Entrepreneurial Center (JPEC)
- BioVentures Center (BVC) and The Technology Innovation Center (TIC)
- The University of Iowa Small Business Development Center (SBDC)

In September 2010, the UI released its Economic Impact Study that highlighted and emphasized the impact of research and economic development programs on the state of Iowa. The report is available at <http://www.uiowa.edu/impact/> and reiterates both the opportunities and challenges related to successfully translating basic research funded by the federal government to viable economic impact locally.

The impact of research often is not shown in the economy until years after its initiation. Based upon current research funding of \$429.5 (FY09) million, the economic impact of spin-off businesses and commercialization of research in existing companies is estimated to be between \$1.4 billion (conservative) and \$2.4 billion (aggressive) on the state's economy by 2020.

FY11 proved to be an outstanding year for economic development activities at the University of Iowa. Our most notable accomplishments include:

- The UIRF executed 8 option and license agreements to startups based on UI intellectual property, and assisted in forming 3 new startup companies based upon UI Intellectual Property. At year-end, 20 UI initiated startup companies remained viable with 14 of these residing in Iowa. In FY11 the funding and financing of these startups (\$33M) doubled over the FY10 total (\$16M), which had doubled over the FY09 total (\$7M). Eleven startups were successful in securing funding and financing, and numerous startups that received funding in FY10 continued to secure additional funding in this year
- The Iowa Medical Innovation Group (IMIG) is a rapidly growing student oriented interdisciplinary program involving students from the Colleges of Medicine, Engineering, Business and Law focused on the identification of solutions to clinical problems and focused in Health IT and medical devices. Under the auspices of JPEC and UIRF, senior faculty mentor interdisciplinary student innovation teams. In FY 11 two viable technologies emerged for further development. In the current academic year, 20 technologies were initially explored and 4 of these are moving forward.
- The UI Research Park companies and affiliated labs report 1618 employees living in 161 communities in 45 Iowa counties, a regional labor shed covering almost one-half of the state. Average individual salary of \$63,000 which translates into an annual payroll of nearly \$100 million, resulting in an estimated \$9.0 million in state income taxes in 2011. The BioVentures Center currently has 9 tenants, 6 of which are spun from UI technology, for an

occupancy rate of 65%. The Technology Innovation Center (TIC) currently houses 11 tenant companies for an occupancy rate of 77% with two new tenants (Angel eCare and Brain Image Analysis) this year. Since TIC opened in 1989, 23 of the 41 companies affiliated with TIC are still in business in Iowa today.

- The University of Iowa's John Pappajohn Entrepreneurial Center (JPEC) offers one of the most comprehensive entrepreneurial education and business support programs in the nation. Featured programs supporting economic development in FY211 include: providing business consulting services to small companies located across Iowa through its student field study program (55 companies assisted); hosting/sponsoring elevator pitch and business plan competitions to support innovation and new venture creation (5 competitions held); supporting the creation and launch of student-based business through the Bedell Entrepreneurship Learning Laboratory (17 offices at full capacity, plus 8 businesses on a waitlist); and delivering entrepreneurial education through academic courses across campus and online (103 sections taught on campus and 33 sections taught online), workshops/seminars (24 workshops held), and high school teacher training and curriculum.
- In FY11, the Small Business Development Center served 306 clients, assisted in 30 business startups, helped clients raise over \$3,800,000 in financing and created 103 jobs.
- In September, voters passed bond referendum that will enable the construction of a unique STEM education innovation center which will serve high school students from 7 surrounding school districts through joint UI, Kirkwood and Local High School faculty.

The following sections of this report will directly respond to specific areas as requested by the Board of Regents. These include: the impact of the University of Iowa activities on the economic growth in Iowa, institutional activities and services that indirectly promote economic development, quantitative information regarding economic development activities in FY11, a summary of outreach and service activities, direct economic development assistance to Iowa communities, summary of GIVF expenditures, and emerging trends in the area of economic development.

IMPACT OF UI ECONOMIC DEVELOPMENT ACTIVITIES ON THE ECONOMIC GROWTH IN IOWA

Job creation and wealth in Iowa

University of Iowa Research Park (UIRP)

UIRP, formerly known as the Oakdale Research Park & Oakdale Research Campus, is a blended campus consisting of a multitude of commercial ventures and a variety of university academic programs and infrastructure assets. As of June 2011, 8 established companies, 20 startup companies and 6 University anchor laboratories were located in the park. These companies have access to University research infrastructure including internet access and access to libraries and research facilities, core facilities to support chemistry, biology, computation and instrumentation. Importantly, companies have access to faculty collaborators and to students as interns or employees.

In FY 2011 the 41 active Iowa companies affiliated with UI Research Park and Technology Innovation Center¹ reported 1,618 employees earning an average salary of \$63,000. The 1,618 employees of companies and laboratories affiliated with the UI Research Park and business incubator reported living in 161 communities in 45 Iowa counties, a regional labor shed covering almost one-half of the state. The annual payroll nears \$100 million resulting in an estimated \$9.0 million in state income taxes in 2011. The affiliated companies and laboratories also reported employing 34 UI students, and 50 employees had earned doctoral degrees.

BioVentures Center (BVC)

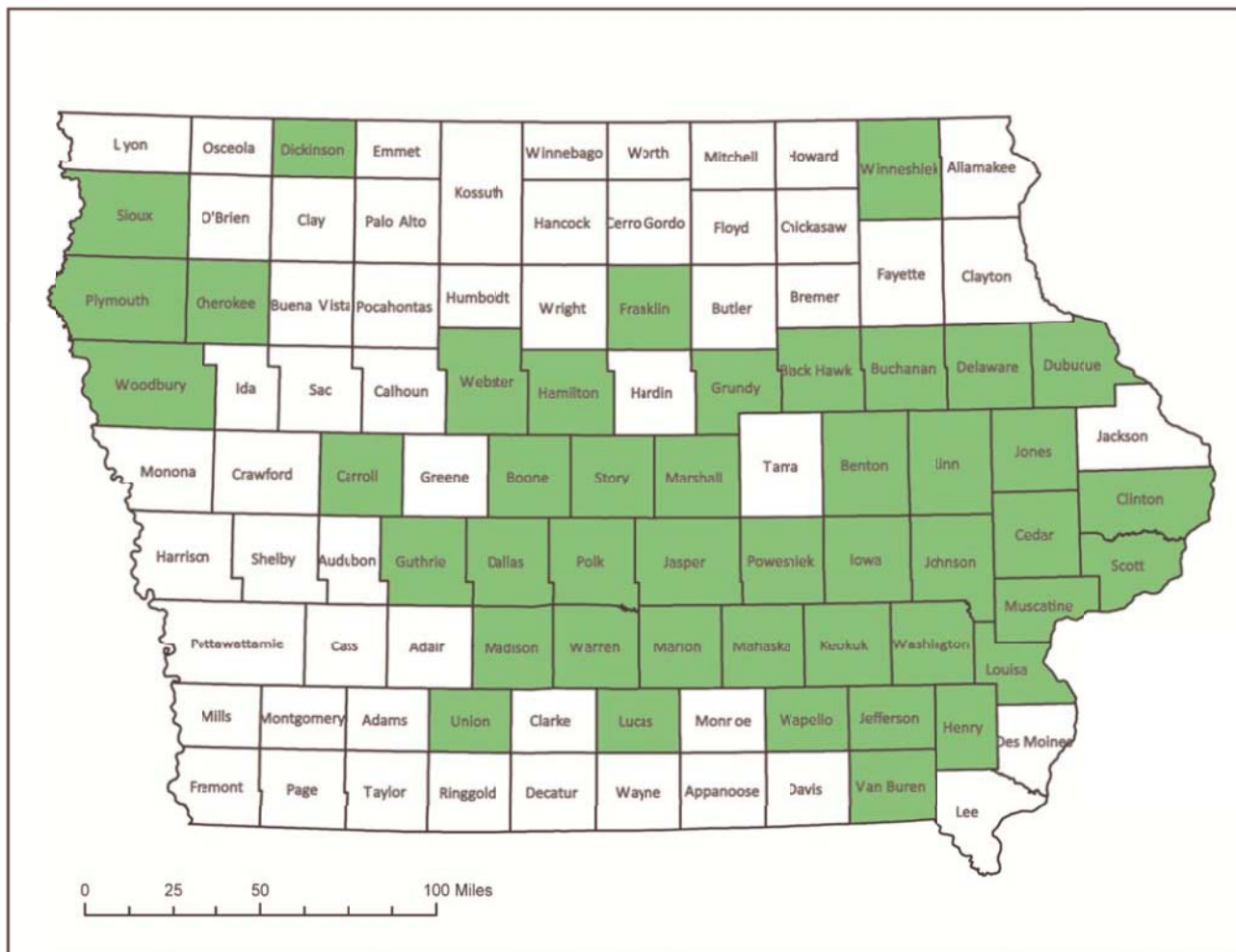
The UI BioVentures Center at the Research Park opened in November of 2008. This 35,000 sq. ft. state-of-the-art biosciences incubator facility allows the University to provide laboratory facilities to support technology based companies emerging from the commercialization of faculty research as well as other startup companies drawn to the area by the substantial R&D assets of the University. We have 7 resident companies and have leased 10 of the 20 laboratories in this facility to startup companies, 6 of which were formed from technology created by UI faculty. GIVF funding was critical in enabling the design and construction of this facility, which now allows us to capitalize on University assets. Nine companies (ASL Analytical, Bio::Neos, Inc., Cellular Engineering Technologies, CQM Systems, Exemplar Genetics, KemPharm, Inc., Terpenoid Therapeutics, Inc, Vertex Pharmaceuticals, VIDA Diagnostics) occupy 10 laboratories and 19 offices in BVC, accounting for 65% of leasable space. Two floors of the west wing of the BioVentures Center have been fit out for those UI units previously housed in Oakdale Hall. These units are associated with research centers reporting to the Colleges of Public Health, Pharmacy and Office of The Vice President for Research.

Technology Innovation Center (TIC)

The Technology Innovation Center provides office space and a nurturing business environment to new technology-based ventures that do not require wet laboratories. In FY11, TIC reported two new tenants (Angel eCare and Brain Image Analysis), for a total of 11 companies. The occupancy rate for the TIC is at about 77%, 27 of the 35 offices are currently rented. Since TIC opened in 1989, 23 of the 41 companies affiliated with TIC are still in business in Iowa today.

¹ This includes active companies at the Technology Innovation Center and/or at the UI Research Park, and graduate companies located in Iowa that are still in business.

**FY11 Labor Shed for Affiliated Companies and Anchor Laboratories
UI Research Park, BioVentures Center and Technology Innovation Center**



Institutional activities and services which indirectly promote economic development

University of Iowa Research Park, BioVentures Center and Technology Innovation Center

A variety of educational and training programs are offered for UIRP/BVC/TIC tenants and faculty investigators including company marketing techniques, SBIR grant writing workshops, and other entrepreneurial workshops and boot camps. Quarterly round ables are held at the BioVentures Center. These roundtables are initiated by the Research Park companies. Agenda items cover Park and BVC updates as well as company issues and concerns. The Multi-Purpose Room at the BioVentures Center was also made available in FY 2011 to over 50 outside groups.

The John Pappajohn Entrepreneurial Center (JPEC)

JPEC offers one of the most comprehensive entrepreneurial education and business support programs in the nation. Featured programs supporting economic development include: providing business consulting services to small companies located across Iowa through its student field study program (55 companies assisted last year); hosting/sponsoring elevator pitch and business plan competitions to support innovation and new venture creation (5 competitions held); supporting the creation and launch of student-based business through the Bedell Entrepreneurship Learning Laboratory (17 offices at full capacity, plus 8 businesses on a waitlist); and delivering entrepreneurial education through academic courses across campus and online, workshops/seminars, and high school teacher training/curriculum.

- ✓ JPEC is one of the nation's top undergraduate entrepreneurship programs. The Center combines academic course work with experiential learning and is open to all UI students. Each year, over 2,000 students enroll in entrepreneurship courses and, since the program launched in 1997, over 1,800 students earned one of the certificates offered by the Center.
- ✓ The Bedell Entrepreneurship Learning Laboratory has been operating over its capacity of 17 offices, housing a total of 24 businesses throughout the past year. A total of 211 students from nearly every College have been impacted by the facility and received assistance on their business plans since its inception in 2004.
- ✓ The Jacobson Institute for Youth Entrepreneurship is a comprehensive program that enriches K-12 students' lives through classroom and practical educational experiences. During FY2011, the Jacobson Institute impacted over 800 youth and worked with nearly 350 teachers including 29 newly trained high school teachers in Iowa who are using the YouthBiz Central online curriculum. 116 students participated in summer camps held across Iowa.

IOWA Centers senior staff participated in economic development organizations in FY11.

STATEWIDE:

- Iowa Department of Economic Development (IDED)
 - Board, Bioscience Alliance of Iowa (BAI)
 - Board, Iowa Information Technology Council (ITC)
- Iowa Biotechnology Association, Board of Directors
- Technology Association of Iowa, Board of Directors
- Technology Association of Iowa, Panelist Reviewer for TAI annual awards
- Prolog Ventures, Iowa Deal Flow Committee
- Iowa Venture Capital and Entrepreneur Conference, Planning Committee
- Iowa First Capital Fund, Advisory Board
- Entrepreneurial Development Center Board, Member

LOCAL AND REGIONAL:

- Priority One, Board of Directors
- Corridor Business Alliance
- Iowa City Area Development Group, Board of Directors
- Iowa City Area Chamber of Commerce, Member
- Dubuque Sustainable City initiatives

NATIONAL:

- AUTM- Association for University Technology Managers Board of Directors, Assistant VP of Finance
- AUTM Foundation Board of Directors, Member
- National Science Foundation (NSF) SBIR program, Mentor for Phase I-II awarded startups

- NSF SBIR program, Panelist for Proposal Reviews
- NBIA National Business Incubator Association
- AURP Association of University Research Park and Association of University Midwest Research Park Directors
- COGR – Council on Governmental Relations

METRICS DESCRIBING ULECONOMIC DEVELOPMENT ACTIVITY FY11

a. Number of disclosures of intellectual property	68
b. Number of patent applications filed <ul style="list-style-type: none"> • U.S. Applications • National Applications • Patent Cooperation • Total Applications 	62 21 7 90
c. Number of patents issued	43
d. Number of license and option agreements executed on institutional intellectual property (The 24 license/option agreements were for a total of 48 different UIRF disclosures) <ul style="list-style-type: none"> • In Iowa 	24 5
e. Number of license and option agreement yielding income	94
f. Revenue to Iowa companies as a result of licensed technology	\$1.99 million
g. Number of startup companies formed <ul style="list-style-type: none"> • In Iowa (Memcine, Mencuro, Tansna) 	3
h. Number of companies in research parks, incubators and graduates located in Iowa	41
i. Number of new companies in research parks and incubators	2
j. Number of employees in companies in research parks and incubators	1618
k. Royalties and license fee income	\$6.28 million
l. Total sponsored funding	\$456.5M
m. Corporate sponsored funding for research and economic development <ul style="list-style-type: none"> • In total • In Iowa 	\$44.7 million \$1.5 million
n. Iowa special appropriations for economic development in the following categories <ul style="list-style-type: none"> • Annual state appropriations for ongoing programs (TIC, ORP and CADD) • Grow Iowa Values Fund appropriations 	\$222,372 \$1,459,200
o. Estimated jobs created by SBDC clients	103

DIRECT AND HANDS-ON TECHNICAL ASSISTANCE TO BUSINESSES, FACULTY INVESTORS & ENTREPRENEURS

The University of Iowa Research Foundation

- The UIRF aspires to maximize public benefit through commercial use of UI technologies, excellence in commercialization and long term sustainability. In pursuit of this vision, UIRF's primary functions are:
- Licensing - finding suitable partners for commercializing UI technologies and inventions
- New Ventures - identifying and developing new high growth UI technology spinout companies suitable for venture capital financing
- Intellectual property services which include protecting UI inventions through patents and copyrights, advising on intellectual property terms for Clinical Trials and Sponsored Research and executing out-going material transfers
- UIRF's economic development emphasis is heavily focused on startup formation. Working directly with UI faculty, entrepreneurs, and investors in selecting, evaluating and developing new companies, these activities include: IP analysis for viability of proposed company products and IP protection strategies and execution; UIRF fronts the cost of IP protection.
- Due diligence on the viability of UI spinout companies
- Business model development for UI spinout companies
- Provide *Entrepreneurs-in-Residence* for high new priority UI companies
- Provide gap funding for highest priority projects
- Licensing to UI spinout companies
- Extensive mentoring and education of faculty in new company formation

UIRF continued a pilot program called the "seeker" function, with the intention to find and work with key faculty with commercialization potential. The seekers met with 122 faculty members and have recommended continued work with 79 which have potentially commercially viable technologies. To date, the activities have led to 3 additional disclosures and the formation of 3 new companies. As part of this work, UIRF - in collaboration with the ICE and commercial partners (The Entrepreneurial Development Center and Startup Midwest) managed to vet new projects, and fund proof of concept projects that could lead to new company formation. A summary of projects evaluated and forwarded in FY11 is indicated in the first table below. A Historical View of GIVF Commercialization Funding that Stimulated Start Up Activity is also provided in Appendix A.

2011 Commercialization & Business Development Funding Awards Potential of New Projects Evaluated & Supported

No.	Project	Lead Faculty	Funding Awarded \$(K)	Cumulative Awards \$(K)	Type of Award
1	Improved vaccine efficacy	Gail Bishop	40	40	Commercial. Grant
2	New, improved Anticonvulsants	Max Baker	47	87	Commercial. Grant

3	Service model and method for more accurate, rapid, and lower cost genomic sequencing	Harsha Doddapaneni	31	118	Commercial. Grant
4	Rapid bone prototyping for surgical repair of bone fractures	Donald Anderson	48	166	Commercial. Grant
5	Service model and method for rapid identification of disease-causing gene mutations	Josep Comeron (John Manak)	48	214	Commercial. Grant
6	Back pain management	Matthew Howard	25	239	Commercial. Grant
7	Natural cancer therapeutics	Zhendong Jin	Up to 2	241	Further Evaluation
8	Prostate cancer therapeutics	Paloma Giangrande	Up to 2	243	Further Evaluation
9	Biomass hydrocarbon fuels	Gary Aurand	Up to 2	245	Further Evaluation
10	Automated verification of industrial software	Cesare Tineli	Up to 2	247	Further Evaluation
11	Driving simulator for emerging markets	Rangaswamy Rajagopal	Up to 2	249	Further Evaluation
12	Production of lower cost xylitol (natural sweetener)	Michael Louie (Shuvendu Das)	Up to 2	251	Further Evaluation
13	Lower cost production of value-added chemicals and ingredients	Shuvendu Das (Michael Louie)	Up to 2	253	Further Evaluation
14	Nanoparticles for improving vaccine efficacy	Ali Salem	Up to 2	255	Further Evaluation
15	Improving photovoltaic efficiency	Johna Leddy	0	255	Not Funded
16	Diagnostics for alcoholism	Rob Philibert	0	255	Not Funded
17	Radiation hard silicone	Ugur Akgun	0	255	Not Funded
18	Patient stand enabling weight-bearing for improved imaging of foot and ankle abnormalities	Phinit Phisitkul	0	255	Not Funded
19	Mobile phone app for the magazine “ <i>The Iowa Review</i> ”	Russell Valentino	0	255	Not Funded
20	Mobile phone app for highlighting Iowa City UNESCO features	Jon Winet	0	255	Not Funded

JPEC provides one-on-one counseling to technology based entrepreneurial companies. JPEC also uses undergraduate and MBA student teams to conduct product assessments, strategic marketing assessments, and other components of an entrepreneurial business plan. Some 55 consulting projects were conducted in FY11. In addition, JPEC supports the efforts of the UIRF to vet and spin out companies based on faculty technology by providing strategic business advice and participating in business development assessments. Several programs related to hands-on technical assistance are described below.

- **FastTrac Entrepreneurial Training Program** – JPEC delivers the nationally acclaimed FastTrac® entrepreneurial training programs of the Ewing Marion Kauffman Foundation of Kansas City. The initiative prepares aspiring entrepreneurs to launch new ventures and existing companies to grow their businesses. Two classes were held in Iowa City in FY11.
- **Seminars/Workshops/Lecture Series** – JPEC hosted over 24 different opportunities last year for students, faculty and persons from the community. In FY11, over 2,100 attendees came to learn from experienced entrepreneurs on a variety of topics including: Technology Export Roundtable, various tax workshops and Entrepreneurial Boot Camp.
- **Entrepreneurial Ventures Group** – JPEC conducts a seminar series, the Entrepreneurial Ventures Group, aimed at aspiring entrepreneurship in students, faculty and members of the community at-large.
- **Wellmark Venture Capital Fund** – JPEC is the regional administrator of the \$5M Wellmark Venture Capital Fund that supports the creation and growth of new businesses throughout the state. JPEC screens applicants, performs due diligence, evaluates business concepts, and assists applicants with their business plans. JPEC partners with area angel investors, equity fund managers, lenders, the Iowa Department of Economic Development, and the Small Business Administration to help business owners secure additional venture funding.
- **Elevator Pitch Competitions** – Two Elevator Pitch Competitions were held with \$67,000 in cash prizes awarded. One contest was open to any current University of Iowa Faculty, Staff, or Graduate Assistant and 35 teams participated in the competition and the winners received \$50,000 in funds. A separate competition was held for UI students in which \$17,000 was awarded to 50 student teams.
- **New Venture Challenge** – The John Pappajohn Entrepreneurial Center and the University of Iowa Research Foundation hosted the Spring 2011 New Venture Challenge with over \$65,000 in cash prizes awarded. The New Venture Challenge was open to all University of Iowa Faculty, Staff and Students, as well as startup companies with principal addresses at the UI Research Park. Over 58 participants registered for this event.
- **Iowa Medical Innovation Group** – This unique student led program focuses on identification of solutions to clinical problems through collaborations in the Colleges of Medicine, Engineering, Business and Law. Students work on creating medical devices and/or Health IT solutions with the assistance of staff from JPEC and the UIRF and to date over 20 interesting technologies have been identified and reviewed and 4 are currently moving forward in advanced phases of development in anticipation of forming startup companies. This program, now in only its 2nd year, has attracted more than 40 students who meet weekly with faculty, staff and external business mentors.

The Small Business Development Center (SBDC)

SBDC offers one-stop assistance to small business owners by providing high quality, one-on-one counseling that is tailored to the needs of individual clients. The SBDC conducts research, counsels, and trains business owners in management, financing, and operating small businesses, and provides comprehensive information services and access to experts in a variety of fields. Educational programs are offered on topics that include taxes, accounting systems, and business planning. It also offers a wide range of training seminars concerning business skills and issues, and assists small businesses in securing Small Business Administration backed loans. In FY2011, the SBDC served 306 clients, assisted in 28 startups, and helped clients raise \$3,800,000 in financing and create 103 jobs.

DIRECT ECONOMIC DEVELOPMENT ASSISTANCE TO IOWA COMMUNITIES

John Pappajohn Entrepreneurial Center

- **Distance Certificate in Entrepreneurial Management** – The Certificate in Entrepreneurial Management is available online to students across the state of Iowa as part of Iowa Community College partnerships. Many online students combine The Certificate in Entrepreneurial Management with the UI's Bachelor of Applied Studies (BAS) or Bachelor of Liberal Studies (BLS) in order to earn their undergraduate degree from The University of Iowa. These online opportunities are offered through UI Division of Continuing Education.
- **Business Consulting Services** – JPEC offers business consulting services to entrepreneurial and startup companies around the state.
- **Okoboji Entrepreneurial Institute** – JPEC conducts an annual institute at UI's Lakeside Laboratories at Lake Okoboji that provides hands-on experiential learning for 40 undergraduates from UI, ISU, UNI, Buena Vista College and Iowa Lakes Community College about what it takes to launch an entrepreneurial enterprise.

Corridor Business Alliance

The Corridor Business Alliance was created in December 2009 and is composed of, leaders from the Cedar Rapids Area Chamber of Commerce, the Entrepreneurial Development Center, Iowa City Area Chamber of Commerce, Iowa City Area Development Group (ICAD), Kirkwood Community College, MidAmerican Energy, Priority One, Kirkwood's Small Business Development Center, the University of Iowa's Small Business Development Center, Research Foundation and Pappajohn Entrepreneurial Center. More information on this regional approach is available at <http://corridor2020.com/2009/11/corridor-business-alliance/>. The overarching goal is to identify and leverage the region's unique educational, business development and industrial assets to enhance recruitment of new companies, development of innovative startup companies and retention of existing industry.

ECONOMIC DEVELOPMENT SERVICES PROVIDED BY THE RESEARCH PARKS, INCUBATORS SIMILAR SERVICE/UNITS

The University of Iowa Research Park, BioVentures Center and Technology Innovation Center

Corporate tenants of the Park benefit from sustained relationships with UI in the form of access to specialized research facilities, library access, faculty consultation, research collaboration and access to students as interns and employees. UI resources also provide smaller companies with assistance in business planning, identifying professional service providers, introductions to local and state government agencies and the regional business community, help in identifying potential sources of investment and other funding and communications. For a list of companies and developers associated with the Research Park, BioVentures Center and Technology Innovation Center see Appendix C.

Research Park Core Facilities

In addition to campus based core university facilities, four specialized UI laboratories reside within the Research Park. These facilities provide technical support services critical to the growth of startup companies as well as University and existing industry partners. These units provide Iowa with unique capabilities that IDED and local economic development entities have utilized in recruitment of outside companies to the Park, the region and the state.

These facilities include:

Center for Advanced Drug Development (CADD)

The Center for Advanced Drug Development (CADD) is a division of the University of Iowa College of Pharmacy that offers contract analytical and quality assurance services to the pharmaceutical and biotechnology industry. CADD is U.S. Food and Drug Administration (FDA) registered and current Good Manufacturing Practices (cGMP) compliant and works closely with the University of Iowa Pharmaceuticals, housed on the central University campus. The focus of both CADD and UI Pharmaceuticals is the manufacture and control of clinical supplies of new drugs entering initial Phase I clinical trials. They are particularly attractive to smaller pharmaceutical/biotechnology companies that have new drugs moving into the clinic but have not developed their own manufacturing capabilities.

CADD and UI Pharmaceuticals have an extensive recurrent client base of mainly smaller biotechnology companies, manufacturers of pharmaceutical excipients, and a growing pool of U.S. and foreign pharmaceutical firms. CADD and UI Pharmaceuticals are particularly well positioned to work directly with discoveries from Iowa university research laboratories, thereby providing an opportunity to hasten technology transfer and shorten the time to market. The presence of these FDA registered facilities along with the Center for Biocatalysis and Bioprocessing makes UI unique among US universities to facilitate the development of new therapeutics from pharmaceutical and biotechnology based companies as well as serving to enhance the translational science research occurring within the University of Iowa.

Center for Biocatalysis and Bioprocessing (CBB)

The Center for Biocatalysis and Bioprocessing is a microbial research, pilot plant and education center reporting to the Vice President for Research and Economic Development. The center links university scientists from 6 different colleges who focus on biocatalysis and bioprocessing. The Center also performs process research and development including fermentation and bioprocessing of food products, biofuels, bio-pharmaceuticals and other products of biotechnology. The center collaborates with industries and is capable of working from small molecules to complex proteins, including such products as alcohols, vaccines, antibiotics, anticancer drugs, polymers, biochemicals, enzymes, pharmaceutical intermediates and derivatives of bioactive compounds. In the Research Development and Process Laboratory, we can conduct extensive process research including first level production from the bench-scale to 1000 liter fermentation. The center also has a current Good Manufacturing Practices (cGMP) production facility for biotherapeutics (products produced under cGMP conditions can be used in Phase I human clinical trials) at a scale of up to 300 liters.

The CBB is central to the University's efforts to attract Biotechnology R&D and industrial fermentation companies to Iowa. CBB has worked with ICE, IDED and other Iowa economic development agencies to recruit companies to Iowa. The GIVF funded cGMP laboratories has already put CBB as the leading bioprocessing facility in a US university setting. In 2008, CBB opened the GMP, a state-of-the-art fermentation and bioprocessing laboratory to produce biotherapeutics for Phase I human trials. This new facility will position UI on the cutting edge of biotherapeutics production. In FY11, CBB began technology transfer for production of pyruvic acid based upon patented processes developed at the CBB and this has since been licensed to a major Iowa Bio Based company.

National Advanced Driving Simulator (NADS)

The National Advanced Driving Simulator (NADS) is a center for driving simulation excellence located at the University of Iowa's Research Park. Development and research conducted at the NADS – sponsored by government, military, and industry partners – saves lives, improves quality of life for motorists, advances the state of the art in driving simulation, and improves the efficiency and productivity of the vehicle manufacturing

sector. This facility is home to the world's most advanced research driving simulator, the NADS-1, as well as a collection of specific and general purpose driving simulators, including the MiniSim™. Recent research at NADS has focused on electronic stability controls systems, detection of impaired drivers, distracted driving, novice driver education, remedial safety training of fleet drivers, at-risk populations (older and younger) and assessment of the effects of pharmaceuticals.

State Hygienic Laboratory (SHL)

The State Hygienic Laboratory (SHL) has provided health and environmental laboratory services to the state of Iowa for more than 100 years. The SHL performs 175 different clinical laboratory tests in maternal screening, newborn screening, virology, serology, microbiology, molecular biology, blood lead screening and biological and chemical terrorism response. SHL uses state of art chemical, biologic and enzymatic analytical methods. These laboratories also serve as important training facilities and can perform fee for service analyses for companies at the UIRP and throughout Iowa and the Midwest. The new 113,665 sq. ft. State Hygienic Laboratory facility opened in the fall of 2010. The State Hygienic Laboratory also offers unique training facilities for companies and personnel associated with the clinical laboratory specialties, as an experiential education site for community college students studying clinical laboratory chemistry and will serve as a training headquarters through live and distance learning for public health professionals across Iowa.

COLLABORATION FOR ECONOMIC DEVELOPMENT WITH IOWA ENTITIES

Startup Company to Commercialize Animal Models of Human Disease

UI, Trans Ova Genetics of Sioux Center and the IDED have collaborated to support a startup company that will develop animal models of human disease, an important tool for the research community in its effort to discover and develop new cures for diseases. The effort began with the work of UI's Michael Welsh, MD, an investigator who has studied the development of cystic fibrosis (CF) for more than 15 years. Dr. Welsh developed an animal model for this disease as a part of his investigation. The collaboration with Trans Ova Genetics will allow a mechanism for translation for broader use as a research tool. A \$400K Battelle award also supported a part of this development. A new company was formed, Exemplar Genetics, in which Trans Ova owns a minority share. The IDED supported further development of the business with a \$1M forgivable loan awarded to UI to support three related projects: 1) development of a small pig facility to support the work, 2) development of a molecular biology laboratory to support the work, and 3) further R&D into the CF model and perhaps one additional animal model of human disease. In FY11, Exemplar raised over 2.4 million dollars in SBIR/STTR funding and has begun selling the pigs developed at the UI to researchers throughout the country. In addition to cystic fibrosis, Exemplar is developing models of cardiovascular disease, cancer, neurodegenerative disease, and muscular dystrophy, among others.

Shovel Ready Site Initiative/Certification

The Shovel Ready Site Program initiative was spear-headed by the Iowa City Area Development Group. The program is designed to give the UI Research Park a competitive edge in the site selection marketplace. The goal of the program is to have selected sites shovel ready, connections to utilities and other physical infrastructure, clear swift procedures for permitting and incentive programs that can be quickly applied to a project. The UI Research Park, along with two other area sites, was chosen as a pilot project site. Gaining shovel ready certification provides a very positive boost to recruitment of technology based companies to UI Research Park and multiple additional sites are nearing shovel ready classification as the interest in locating within the Park continues to grow.

IAWind

The University of Iowa, and particularly the College of Engineering, took the lead in working with IDED to create the Iowa Alliance for Wind Innovation and Novel Development (IAWind), a virtual organization established to promote the wind energy industry in boost to Iowa. This collaboration includes:

- The Regents Universities
- Iowa Community Colleges
- State Agencies (IDED, DNR, Office of Energy Independence)
- Federal Agencies (NSF, DOE)
- Iowa Wind Industries
- Community Partners (Iowa Energy Center, Iowa Wind Energy Association)

The organization comprises components related to policy, research, training and education, and testing facilities. The impetus for this organization arose as the College of Engineering was assisting the Iowa Department of Economic Development in its efforts to recruit wind energy companies to the state, and the need to identify and integrate the state's wind energy assets became obvious. For more information: <http://www.iawind.org>

Iowa NSF EPSCoR

The 3 Board of Regent Institutions, working with state government, the community colleges and industry led a successful effort to win a highly competitive 5 –year, \$24M year grant from the National Science Foundation. The program, known as EPSCoR (Experimental Program to Stimulate Competitive Research) is focused on enhancing the quality of faculty and their competitiveness for additional federal funding, focusing on enhancing the state's renewable energy goals, leveraging linkages with industry and Iowa economic development entities and increasing the pool of Iowan's well trained in the Sciences to allow to compete in the 21st century global economy. A state EPSCoR coordinating committee comprised of University, Community College, Industrial, Governmental and legislative leaders will oversee the ongoing programs and identify new directions as well as leveraging opportunities where Iowa communities can benefit directly from the work on the grant. The link to renewable energy, competitiveness. STEM education and workforce development also fits well with Governor Branstad's vision for innovation, economic development and STEM education on a statewide level.

The University of Iowa linkages to the Dubuque Sustainable City Program

The University of Iowa's strong commitment to community economic development is illustrated in two major projects with the City of Dubuque.

Sustainable Dubuque Watershed Network – this joint research project led by Professor Jerry Schnoor at UI utilizes high frequency sensing of water resources using an embedded sensor network to develop a watershed network and intelligent digital watershed for the North Fork of Catfish Creek in Dubuque with an eye towards understanding, modeling and predicting the infiltration and inflow to the sanitary sewer system which creates unwanted by-pass flows.

University of Iowa Sustainable Dubuque Initiative – this joint effort between the City of Dubuque and The UI School of Urban and Regional Planning is focused on helping Dubuque validate and actualize the specific approaches they plan to take going forward and involves graduate students from UI working local college students and city leaders on several projects over the next two years which include:

2011-12 Projects

- Indicators and indicator measurements for the 11 sustainability principles.
- Renewable energy asset mapping
- Portrait of poverty in Dubuque

- Local foods and local institutions
- Design of Green and Healthy Homes program

2012-13 Projects

- Survey of best practices for land pricing and general plans for redevelopment of port areas
- Commercial/residential redevelopment plan for Washington neighborhood
- Opportunities for integrating city, school, and regional transportation systems.
- Determination of real housing need

Additionally Urban and Regional Planning students have had ongoing projects in Decorah, Wellman, Anamosa, and Columbus Junction in the past and have ongoing projects in Burlington, Decorah, Oskaloosa and Charles City in addition to the Dubuque projects.

University of Iowa/Kirkwood Community College STEM Innovation Center

Joint planning of an innovation campus to identify new models for STEM education and workforce development for Iowa by the University of Iowa, Kirkwood Community College and the Iowa City School District has led to a recent voter approved bond referendum which will enable the construction of such a center on the University of Iowa Research Park Campus. To our knowledge, this is the first of its kind where faculty from all three education sectors will work together to develop and evaluate new models of STEM education. High school and community college students will have access to Advanced College courses in STEM and will benefit from internships and other experiences in our state-of-the-art park facilities (NADS, SHL, CBB, and select other companies) as well as the rich laboratory and clinical resources on the UI campus.

GROW IOWA VALUES FUND (GIVF)

GIVF Impact for the University of Iowa and the Iowa Centers for Enterprise (ICE)

Over the past 6 years, GIVF has provided UI critical support to build the infrastructure needed to better transform UI faculty discoveries into new businesses and/or licensing opportunities. Funds have been used in the following general categories:

- to stimulate commercialization and provide proof of concept funding for promising UI research
- create an infrastructure through personnel and facilities to support growing startup companies within the University the UI Research Park campus
- provide comprehensive entrepreneurial education and business support programs
- lead regional economic development strategy for the Cedar Rapids/Iowa City/Coralville corridor and work closely with existing industry in terms of science and business development

Success Stories Based on UI Technology with GIVF Proof of Concept Support

ASL Analytical, Inc. was provided GIVF funding proof of concept funding in 2005, the company was established in 2006 and are currently located at the BioVentures Center at the UI Research Park and currently has 7 total employees. <http://asl-analytical.com/>

Mark Arnold and Gary Small were researcher collaborators in the Department of Chemistry. Their idea was to develop chemical sensing technology that can be used to monitor the concentrations of critical chemical constituents within a process of interest. The key is the ability to monitor these concentrations accurately, non-destructively and in real-time, thereby providing a means for feedback control and enhanced productivity. Their plans are to develop this technology for a multitude of sensing applications in the biopharmaceutical industry, include protein expression by E. coli and CHO cells. They are also exploring the translation of this sensing technology into the intensive care unit (ICU) to improve medical treatment of critically ill adult, pediatric and neonatal patients. Since 2006, ASL has secured over \$2.6 million in funding from a variety of sources including private investors, SBIR funding from NSF, NIH, and the U.S. Army, and industrial grants and contracts. Efforts to match NSF SBIR Phase IIB funding are underway as a way to fund employee expansion.

Terpenoid Therapeutics was provided GIVF funding proof of concept funding in 2005. The company is currently located in the University of Iowa Research Park in the BioVentures Center Incubator and currently has 6 employees. <http://www.terpenoid.com/> Terpenoid Therapeutics, Inc. is a spin off cancer drug discovery and development company based on the intellectual property from the research of Drs. David Wiemer and Raymond Hohl in Chemistry and Oncology, respectively. The company has been successful in multiple SBIR grant applications, the IDED DEMO fund as well as in raising significant private capital and has two lead compounds approaching Phase I human clinical trials. Since 2005, the company has raised over \$2M in external funds including IDED demonstration funds (\$150K), Series A funding (\$1.5M) and SBIR/STTR (\$414K).

Grow Iowa Values Fund projects for
FY 2010 – FY2011

GIVE Program Summary	Description of Program	FY11 – GIVE Expenditures From FY10 and FY11 Match Funds Source	Progress through June 30, 2010 ROI DATA
<u>VP for Research</u>	These funds have been instrumental in enabling UI to expand the economic development infrastructure. These funds supported critical economic development functions associated with University Research Park, BioVentures Center, Technology Innovation Center and IOWA Centers for Enterprise.	FY 2011 \$879,349 MATCH: Ryan Companies, UI Biology Department and UI Research Park Corporation in-kind contributions \$449,704	Satellite offices for ICE units have been established at BVC. This will provide tenant companies direct access to experts to help move their business development goals. Preferred vendors selected for critical UIRP infrastructure including a fitness facility and a day care facility for park companies, Our collaborative internal economic development organization is leading efforts of the Corridor Business Alliance to create a regional economic development strategy for the Cedar Rapids/Iowa City/Coralville corridor Staff support for UIRP, BVC and TIC Annual entrepreneurial education and celebration event that highlighted ICE accomplishments as well as recognize UI faculty, staff and students for entrepreneurial awards.
<u>BioVentures Center and University of Iowa Research Park</u>	The BioVentures Building was made possible by a collaborative partnership between Ryan Companies and the University of Iowa. The new building provides critical space and services for life science startup companies at the University of Iowa Research Park. The BioVentures Center will use these funds to pay debt associated with the construction of the new BioVentures Building. .	FY 2011 \$492,500 MATCH: UI BioVentures Center in-kind contribution \$246,250	65% of leasable space at the BVC and 77% of leasable space at TIC. Nine companies (ASL Analytical, Bio::Neos, Cellular Engineering Technologies, CQM Systems, Exemplar Genetics, KemPharm, Inc., Terpenoid Therapeutics, Inc., Vertex Pharmaceuticals and VIDA Diagnostics) New shared lab space built out in BVC to support early stage companies in their pursuit of external funding including SBIR The University of Iowa Research Park has achieved shovel ready certification.

<u>John Pappajohn Entrepreneurial Center</u>	To fund expenses associated with training, consultation and outreach for Iowa entrepreneurs. JPEC continues to expand outreach programs for Iowans: 1) Support the development, implementation, and expansion of entrepreneurship programs; 2) Enhance support for faculty and area technology and high potential startup and early stage companies through one-on-one consulting, education seminars and workshops, and student/faculty field study projects and 3) Continue support for elevator pitch and business concept competitions for UI-based new and emerging ventures.	FY 2011 \$376,393 MATCH: JPEC in-kind contribution \$175,307	Employed a Project Manager to work with UI faculty / staff / students in the areas of strategic business planning, market research, operations and financial assessment. Project manager also identified and managed projects for existing Iowa-based companies to work with UI student consulting teams. JPEC hosted over 24 different opportunities last year for students, faculty and persons from the community. In FY11, over 2,100 attendees came to learn from experienced entrepreneurs on a variety of topics including: Technology Export Roundtable, various tax workshops, and Entrepreneurial Boot Camp JPEC held various elevator pitch and business plan competitions for UI faculty, staff and students. 308 entrepreneurs participated and 55 received a total of \$80,000 in seed funding.
<u>Center for Biocatalysis & Bioprocessing</u>	To expand into a dedicated bioprocessing support for industrial biotechnology companies at the CBB. Currently, CBB is deficient in performing these operations, which have the potential to convert soy and corn residues to fuels and chemicals. CBB has experienced a surge in these activities. This reflects the surge in DOE and Venture funding into companies involved in this area.	FY 2011 \$549,758 MATCH: CBB in-kind contribution \$274,879	CBB achieved \$2.5 million in revenue in FY11. Several 30 L fermenters and recovery equipment have already been installed as a first step towards establishing full capability in the industrial biotechnology area. In FY11, CBB began technology transfer for production of pyruvic acid. This technology has been licensed to an Iowa company. The company is further scaling up this technology for large scale production.
<u>University of Iowa Research Foundation (UIRF)</u>	UIRF focused on two primary activities: 1) continue its contribution to the integrated model of new company formation and 2) educate faculty in key colleges and departments towards identifying viable technology that has potential to create intellectual property that can be protected and lead to new companies and/or licensing opportunities. Since University derived intellectual property is by nature very nascent in terms of its readiness for forming companies and attracting additional investment capital, GIVF has been critically important to assist in establishing proof of concept in several of our most exciting technologies in advance of forming companies. These funds also are very helpful in helping attract additional proof of concept funds from federal and private sources	FY 2011 \$828,215 MATCH: UIRF in-kind contribution \$414,000	Funds were utilized to support existing projects that continue to demonstrate commercial merit. This support included specialized entrepreneurs-in-residence, technology experts, external grant identification and application, intellectual property evaluation and strategy, external partnership development and assistance in securing investment. GIVF Seed Grant Program. GIVF funding has been critical in creating a culture of commercialization and enabling the creation of highly innovative startups based on faculty research. GIVF investments can be directly linked to 13 existing local startups as of FY10, 2 more were formed in FY11 and 4 others are in formation stages for a current running total of 19. See Appendix A for Historical perspective of GIVF funding that Stimulated Start Up Activity

EMERGING TRENDS IN UNIVERSITY ECONOMIC DEVELOPMENT AND TECHNOLOGY TRANSFER

Emerging Trends- There has been a clear focus among major research universities to enhance their infrastructure to more effectively move important research findings towards commercialization for the benefit of society as well as to maximize economic value. National conferences held by early stage investors and conferences held by university tech transfer groups are merging. Experienced business and new venture development professionals are becoming common place in university tech transfer organizations, and university tech transfer conferences are presenting relevant business and new venture sessions. Successful university research parks have vibrant laboratory- based business incubators that provide both facilities and active business support programs for their startup companies. Most successful university business incubators are constructed debt free, or very close to it. Graduate space for incubator companies – sometimes called accelerator space – is becoming a mainstream program to support companies as they graduate from life science and IT incubators.

Available Capital- Due to the very early stages of most technology based University Research, the access to proof of concept capital investment remains a critical element for continued success. GIVF funding has been critical to UI success to date and has enabled us to build an infrastructure to enhance our ability to identify high value technologies that could lead to commercialization in the future. Aside from this type of state funding, federal support through SBIR/STTR programs remains a vital program that enables competitive vetting of new ideas and technologies and in some states matching programs to federal support has enhanced technology transfer greatly. Without this early stage investment many of our nascent technologies and very early stage companies will fail in one of the many Valleys of Death along the technology transfer pipeline as most other investments, including some of Iowa's existing programs are focused on more established companies and technologies to insure financial viability.

New Programs- Most universities see only a few percent of technologies commercialized, typically because of lack of proof of concept for these innovations. As such, this is an area of growing focus for universities. New programs are focused on establishing the means for proof of concept that can lead to an interested commercial partner and the required capital to bring innovations to market. One example is to extend the concept of Entrepreneur-in-Residence which is applied to new startups, to Commercialization. These individuals are being attracted to universities for their combined technology and business expertise to help faculty invent for specific market needs, versus the more historical serendipitous approach. Another innovative program is the Iowa Medical Innovation Group. This is an interdisciplinary endeavor between JPEC, the TCOB, Carver College of Medicine, College of Engineering, and College of Law. The primary objectives of this program are to provide advanced students a working knowledge of all phases of medical device / technology development and to commercialize new medical innovations.

Alignment with State and Regional Priorities and Cluster industries – working closely with the IDED as they develop their Innovation Council universities are strategically positioned to support the state's three science and technology platforms of biosciences, advanced manufacturing and IT. They are also working across all 3 Regents institutions to develop strong infrastructure to support renewable energy. This alignment is crucial for Iowa's success in terms of science and technology infrastructure, workforce development and alignment with state and regional economic development assets need to create and recruit key companies in targeted areas. In the case of UI our local targeted industry clusters include Wind Energy, Food Processing and Biotechnology and the university continues to align itself to support growth in these areas.

Faculty Cluster Research Priorities – As a major strategy to focus our investments on our most successful research programs we have initiated hiring strategy revolving around clusters of faculty focused on societal problems of major importance and with high probabilities for attracting external funding. Thus in 2010 a faculty cluster hires in Water Sustainability were made across 6 colleges and we have current clusters forming in Aging, Obesity, Genetics and Public Humanities, all involving multiple colleges, and in some cases also linking with ISU and UNI. In each of these areas we were working to identify faculty who will also have as a high priority an interest in motivating their colleagues to focus on commercialization and technology transfer related to this "grand challenges".

Appendix A

Summary of Historical GIVF Commercialization Funding Stimulating Startup Activity

2011	GIVF Funded Projects	Potential Startup Identified	Startup Formed	Year	Company Name	Startup Is On-Going	Remains Under Consideration for Startup	GIVF stimulated What Result
Anderson	1	√	√	2011	FxRedux LLC	Yes	√	Startup Formation
Baker	2	√	√	2010	Memcine	Yes	√	Startup Formation
Doddapaneni*	3	√					√	Startup Interest
Manak*	4							
Bishop	5	√	√	2010	Mencuro	Yes	√	Startup Formation
Howard	6	√					√	Startup Interest
2010								
Schultz	7	√	√	2009	ViewPoint Mole. Diag.	Yes	√	Startup Formation
Adams	8	√					√	Startup Interest
McCray	9							
Lim	10	√	√	2007	JL Meditech	No		
Leddy	11	√	√	2009	Voltesla	No	Techs licensed to partners	Startup Formation
2007								
Abramoff	12	√	√	2009	IDX	Yes	√	Startup Formation
Arnold	13	√	√	2005	ASL Analytical	Yes	√	Industry Partner
Hohl	14	√	√	2005	Terpenoid Therapeutic	Yes	√	Private Financing
Welsh	15	√	√	2007	Exemplar Genetics	Yes	√	Startup Formation
Wolgennaunt	16	√	√	2006	OMR Sensors	No		
TOTAL	16	14	11			8	11	

1. Original company is no longer viable
2. Voltesla performed technology proof of concept work; technologies were subsequently licensed to other commercial partners; the startup co. is no longer needed. Original company is no longer viable

Appendix B

Name of Business or Other Entity Served	City and County where this Project is in Place		University Unit that interacted with business or other entity
	City	County	
BUSINESS INCUBATOR TENANTS			
AMBI Group	Coralville	Johnson	Technology Innovation Center
ASL Analytical	Coralville	Johnson	BioVentures Center
Bio::Neos, Inc.	Coralville	Johnson	BioVentures Center
Cellular Engineering Tech.	Coralville	Johnson	BioVentures Center
Componica, LLC	Coralville	Johnson	Technology Innovation Center
Digital Artefacts, LLC	Coralville	Johnson	Technology Innovation Center
Exemplar	Coralville	Johnson	BioVentures Center
Innomatix, LLC	Coralville	Johnson	Technology Innovation Center
Corvida Medical	Coralville	Johnson	Technology Innovation Center
KemPharm, Inc.	Coralville	Johnson	BioVentures Center
Ramaanchar Technologies, Inc.	Coralville	Johnson	Technology Innovation Center
Terpenoid Therapeutics, Inc.	Coralville	Johnson	BioVentures Center
The Thomas Group	Coralville	Johnson	Technology Innovation Center
Vertex Pharmaceuticals	Coralville	Johnson	BioVentures Center
VIDA Diagnostics	Coralville	Johnson	BioVentures Center
Kepa Services	Coralville	Johnson	Technology Innovation Center
SantosHuman, Inc.	Coralville	Johnson	Technology Innovation Center
RESEARCH PARK TENANTS			
LMS North America	Coralville	Johnson	UI Research Park/TIC Graduate
Stanley Environmental, Inc.	Coralville	Johnson	UI Research Park
Vangent, Inc.	Coralville	Johnson	UI Research Park
Integrated DNA Technologies, Inc.	Coralville	Johnson	UI Research Park/TIC Graduate

Pearson Educational Measurement	Coralville/Iowa City	Johnson	UI Research Park
Noel-Levitz	Coralville	Johnson	UI Research Park
Cargill International	Coralville/Cedar Rapids	Johnson	UI Research Park
Brighton Group	Coralville/Des Moines	Johnson/Polk	UI Research Park
OTHER BUSINESS INCUBATOR GRADUATES ACTIVE IN IOWA			
Ecolotree, Inc.	Lowden, North Liberty	Cedar, Johnson	Technology Innovation Center
Accredo Therapeutics	Iowa City	Johnson	Technology Innovation Center
Corcoran Communications, Inc.	Iowa City	Johnson	Technology Innovation Center
Innovative Software Engineering	Coralville	Johnson	UI Research Park/TIC Graduate
Bio-Research Products, Inc.	North Liberty	Johnson	Technology Innovation Center
aJile Systems, Inc.	Cedar Rapids	Linn	Technology Innovation Center
CompuTerra, Inc.	Cedar Rapids	Linn	Technology Innovation Center
Sustainable Science	Iowa City	Johnson	Technology Innovation Center
Caviforce Technologies, Inc.	Des Moines	Polk	Technology Innovation Center
Sebesta Blomberg & Assoc., Inc.	Coralville	Johnson	Technology Innovation Center
HomeSafe	Coralville	Johnson	Technology Innovation Center
Integrated DNA Technologies, Inc.	Coralville	Johnson	UI Research Park/TIC
The Patient Education Institute	Coralville/Iowa City	Johnson	UI Research Park/TIC
Police Law Institute	Coralville/North Liberty	Johnson	UI Research Park/TIC
Goldfinch Diagnostics	Coralville	Johnson	Technology Innovation Center
Corridor Media Group	Coralville	Johnson	Technology Innovation Center
DEVELOPERS			
Myriad Developers, Inc.	Cedar Rapids	Linn	UI Research Park
TMD, L.L.C.	Solon	Johnson	UI Research Park
Midwest Development & Invest.Corp.	Fairfield	Jefferson	UI Research Park
Liberty Growth	Iowa City	Johnson	UI Research Park
Hunter Companies	Cedar Rapids	Linn	UI Research Park
S & S Developers	Iowa City	Johnson	UI Research Park
EMRICO	Iowa City	Johnson	UI Research Park
Ryan Companies, US	Cedar Rapids	Linn	UI Research Park
LMC, LLC	North Liberty	Johnson	UI Research Park

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University of Northern Iowa Annual Economic Development and Technology Transfer Report FY 2011

Section 1. UNI's Economic Development Activities to Enhance Economic Growth in Iowa

The past year proved to be a challenging one for the national economy, as well as here in Iowa. Our state was not insulated from the job loss and slow economic growth impacting the entire country. However, with all challenges come opportunities. The economic conditions helped to demonstrate the true character of our state and of all Iowans: a willingness to buckle down and get done what needs to be done. This same character is reflected in the consistent services provided by UNI's economic development programs. UNI has remained a reliable resource for businesses, communities and entrepreneurs throughout the state; not only continuing services, but in many areas, expanding our impact, despite reduced funding. Outcomes realized by key economic development/tech transfer programs during FY 2011 include:

Overall

- Provided service in all 99 counties to nearly 1,300 unique business, community and local government clients; another 10,000 individuals were engaged in the MyEntre.Net entrepreneurial support system.
- Involved 212 faculty members and more than 2,000 students in the delivery of these services.
- Leveraged each \$1 invested by the state with \$6 in private grants, fees or federal funding.

Entrepreneurship, Business Incubation and Technology Transfer

- UNI's 3 incubator/accelerator programs and MyEntre.Net helped start or expand 247 ventures creating 175 FTE jobs.
- Nearly 10,000 individuals are now actively engaged in the MyEntre.Net online community.
- MyEntre.Net provided on-demand business and market information to 311 businesses through its new Business Concierge service; another 243 clients were served by the UNI SBDC.
- 21 student businesses were tenants in the John Pappajohn Entrepreneurial Center's Student Business Incubator and 43 additional student entrepreneurs were assisted by the affiliate program.
- One of the UNI John Pappajohn Center's student incubator tenants has been selected as a winner of the John Pappajohn Collegiate Business Plan Competition and another tenant was one of five national finalists in *Entrepreneur* magazine's Collegiate Entrepreneur of the Year competition.
- UNI faculty and staff submitted 8 new intellectual property disclosures.
- 3 patents were received and 5 new patents were filed.
- 2 new license agreements were approved and a total of 11 license agreements are currently generating income.

Waste Reduction, Environmental Assistance and the Bioeconomy

- Environmental technical assistance and on-site reviews were provided to 191 small businesses.
- The GeoTREE program worked in conjunction with multiple state and local agencies, using geospatial mapping to identify solutions to specific problems including energy efficiency and watershed management.
- Recycling and reuse project funding was provided to 48 companies and organizations; another 160 individuals were provided testing assistance for products using recycled materials.
- The RRTTC provided education and training on recycling, environmental and health sustainability to students, faculty and Cedar Valley residents.
- Energy and environmental education programming reached 48,110 K-12 students.
- The Tallgrass Prairie Center distributed native prairie seeds to 50 Iowa counties as part of its roadside vegetation project.
- NABL contracted with US Department of Navy to develop biobased lubricant specifications for military use.
- NABL-developed technologies were featured on an episode of The History Channel's *Modern Marvels* television program

Local Economic Development

- IDM worked with Iowa Workforce Development to complete a community guide for dealing with mass layoffs and plant closures.
- Community clients report creating approximately 1,500 jobs as a result of local economic development technical assistance from the Institute for Decision Making (IDM).
- Comprehensive technical assistance was provided to 68 community partners and 4 regional groups.
- Strategic marketing Services completed a new regionally-based existing industry report that illustrated the unique economic impact of major employers in the North Central Iowa region.

Advanced Manufacturing & Market Research

- Continued sponsored research was conducted into biobased foundry binder systems resulting in two new patent submissions and license agreements.
- MCC provided custom technical assistance and outreach services to 6 Iowa foundries.
- Market research and analysis services were provided to 9 Iowa companies and 15 national companies.
- Market research clients report an average employment increase of 14%, due in part to the information provided by UNI.

**Section 2. Technology Transfer and Intellectual Property****FY 2011**

	UNI
a. Number of disclosures of intellectual property	8
b. Number of patent applications filed	5
c. Number of patents awarded	3
d. Number of license and option agreements executed on institutional intellectual property	2
e. Number of license and option agreements yielding income	11
f. Revenue to Iowa companies as a result of licensed technologies	\$2,400,000
g. Number of start-up companies formed, in total and in Iowa	61/61
h. Number of companies in research parks and incubators	23
i. Number of <u>new</u> companies in research parks and incubators	15
j. Number of employees in companies in research parks and incubators	45
k. Royalties/license fee income	\$99,074
l. Total sponsored funding	\$43,000,000
m. Corporate-sponsored funding for research and economic development and revenue generation (excludes corporate philanthropy - all in Iowa)	\$2,070,500
n. i. Annual appropriations for economic development	\$549,606
ii. Grow Iowa values appropriation	\$729,600

Section 3. Overview of UNI's Economic Development Programs

UNI outreach services for community and economic development activities are outlined in a table format on the following seven pages. The format provides a brief overview of each program, its purpose, those served and outcomes. Together, the programs served approximately 1,300 unique businesses and organizations in the past year and another 10,000 individuals through the MyEntre.Net entrepreneurial development system.



Section 3. Overview of UNI's Economic Development Programs (continued)

Programs	Services	Those Typically Served	FY 2011 Results	Cumulative Results
Institute for Decision Making (IDM)	Hands-on community and economic development guidance and research	Economic development organizations, chambers of commerce, city councils, communities and others	<ul style="list-style-type: none"> ✓ Completed a new type of existing industry report outlining economic impact of regional employers. ✓ Assistance and research provided to 68 community partners and 4 regional development groups. ✓ Provided assistance to two communities impacted by tornado disasters. ✓ Developed a state-wide guide to dealing with mass layoffs and plant closures. 	<ul style="list-style-type: none"> ✓ Served 641 communities, counties and groups in nearly all of Iowa's counties. ✓ Community clients report 1,500 – 2,000 new jobs annually as a result of IDM assistance. ✓ Trained over 760 economic development professionals.
Iowa Waste Reduction Center (IWRC)	Free, confidential, environmental assistance for small businesses	Small businesses throughout Iowa	<ul style="list-style-type: none"> ✓ Environmental technical assistance and on-site reviews were provided to 191 small businesses. ✓ 387 military painters, supervisors and Department of Defense personnel trained by the STAR4Defense paint training program. 	<ul style="list-style-type: none"> ✓ Provided 5,244 on-site reviews to Iowa small businesses. ✓ 1,740 individuals trained in efficient spray painting techniques through the STAR4Defense program.
National Ag-Based Lubricants (NABL) Center	Biobased lubricants research, testing services, development of performance standards and biobased lubricant product certification	Companies and individuals developing biobased lubricants, traditional lubricant companies, and lubricant consumers	<ul style="list-style-type: none"> ✓ Provided fee-based testing and biolubricant product development services to clients in multiple countries and states. ✓ Contracted with US Department of Navy to develop military-compatible, biobased lubricant specifications ✓ Published text on biolubricant technology: <i>Biobased Lubricants and Greases</i>. 	<ul style="list-style-type: none"> ✓ Over 40 soy lubricants, greases, metalworking fluids and specialty lubricants developed to date. ✓ A national testing and certification center, leading the nation's biobased lubricants industry.



Section 3. Overview of UNI's Economic Development Programs (continued)

Programs	Services	Those Typically Served	FY 2011 Results	Cumulative Results
Strategic Marketing Services (SMS)	Market research and analysis	Businesses, entrepreneurs and non-profit organizations	✓ Market research and analysis services were provided to 9 Iowa companies and 15 national companies.	✓ Since 1990, market research and analysis services have been provided to 281 Iowa companies.
Executive Development Center (EDC)	Management and professional training workshops and certificate programs	Iowa businesses and organizations	✓ Specialized business management training provided in 66 workshops to 538 business professionals representing 53 businesses.	✓ Since 1998, has provided training in 1,142 workshops to 19,034 business professionals.
John Pappajohn Entrepreneurial Center (JPEC)	Research, entrepreneurship education, technology transfer, and capital investment programs	Students interested in entrepreneurship, UNI faculty and staff entrepreneurs, new ventures and rapidly growing small companies	<ul style="list-style-type: none"> ✓ One UNI student entrepreneur was selected as one of five finalists for <i>Entrepreneur</i> magazine's student entrepreneur of the year. ✓ UNI Entrepreneurs (student organization) took second place nationally in the environmental sustainability challenge sponsored by Sam's Club. ✓ 21 student business owners were tenants in the student business incubator. ✓ 43 student business owners were provided services as part of the student business affiliate incubator program. 	<ul style="list-style-type: none"> ✓ The JPEC Student Business Incubator has provided space to more than 52 business owners since FY05. ✓ The JPEC has consulted with 192 faculty and staff from colleges and universities from around the U.S. and the world on student business incubation since FY08. ✓ The Cedar Valley Venture Fund, managed by JPEC, has invested in 6 new ventures.



Section 3. Overview of UNI's Economic Development Programs (continued)

Programs	Services	Those Typically Served	FY 2011 Results	Cumulative Results
Iowa Center for Immigrant Leadership and Integration (ICILI)	Helping Iowa communities and businesses accommodate the needs of newcomers	Communities, faith-based organizations and businesses	<ul style="list-style-type: none"> ✓ Created a new handbook entitled <i>New Americans, New Iowans</i>. ✓ Created a manual for effectively using interpreters in health care settings. ✓ Worked with 20 companies, health care providers, social service providers and communities to better meet the needs of newcomers. 	<ul style="list-style-type: none"> ✓ Assistance in accommodating the needs of newcomers has been provided to more than 200 Iowa companies and organizations. ✓ More than 25,000 print copies of 4 different manuals (and countless electronic copies) have been distributed throughout Iowa.
UNI Regional Business Center/ Small Business Development Center (RBC/SBDC)	Rural/ Urban Entrepreneurship development, online entrepreneurship support system, business consulting, business training, business incubation	Small and medium sized businesses, entrepreneurs, entrepreneurial service providers, community leaders	<ul style="list-style-type: none"> ✓ 3,339 new members of MyEntre.Net. ✓ Business Concierge services were provided to 311 businesses. ✓ 2011 MyEntre.Net statewide small business survey results show 183 new or expanded businesses, 174.5 new FTE jobs and \$10,861,381 in new commercial/ equity investment. ✓ Incubation Services engaged 9 new tenants, graduated 1 business and added 20 new employees. ✓ 243 clients served by UNI SBDC with technical assistance, 164 served with classroom training. ✓ 100,000+ visits to MyEntre.Net. 	<ul style="list-style-type: none"> ✓ 9,776 entrepreneurs are engaged online at MyEntre.Net as of June 2011. ✓ EntreFest! traveling conference has hosted 993 attendees from 78 Iowa counties. ✓ MyEntre.Net webinars have been hosted twice monthly since 2003; 153 webinars are archived online.



Section 3. Overview of UNI's Economic Development Programs (continued)

Programs	Services	Those Typically Served	FY 2011 Results	Cumulative Results
Tallgrass Prairie Center (TPC)	Research, techniques, education and source-identified seed for restoration and preservation of native vegetation	Iowa counties, state and federal agencies, commercial native seed producers, the community, educators, students and prairie enthusiasts	<ul style="list-style-type: none"> ✓ Roadside vegetation research for restoring right-of-ways was provided to the Iowa DOT and native seeds were distributed to 50 counties in Iowa. ✓ Continued applied research to determine prairie species mix for optimal biomass electrical generation. ✓ Published by U of I Press <i>Tallgrass Prairie Center's Guide to Prairie Restoration in the Upper Midwest, Tallgrass Prairie Centers Guide to Seed and Seedling Identification</i>. ✓ Hosted 23rd North American Prairie Conference. 	<ul style="list-style-type: none"> ✓ More than 17,000 acres of roadway right-of-way have been restored to native vegetation. ✓ Provided information for Iowa DOT to change seeding regulations. ✓ Demonstration projects on effectiveness of hydroseeding. ✓ Prairie Power Project completes 2nd year. ✓ Three major publications by staff.
Center for Energy and Environmental Education (CEEE)	Technical assistance, educational programs and leadership in energy conservation and renewable energy, environmental conservation and community-based agriculture	Iowa cities, counties, Iowa schools, teachers, farmers, businesses, elected officials, state agencies, community leaders, citizen organizations	<ul style="list-style-type: none"> ✓ Green Iowa AmeriCorps sites weatherized 114 homes in the state. ✓ The CEEE FREE loan program reached 10,072 students, 9,445 adults, and 447 teachers, increasing energy understanding. ✓ Iowa School Energy Challenge engaged 20 secondary schools in energy efficiency. ✓ Buy Fresh, Buy Local participating restaurants and institutional buyers in the Black Hawk County area spent \$2.65 million on locally grown foods. ✓ Iowa Farm Energy Working Group helped reduce fossil fuel use on small to mid-sized farms this year through meetings for 60 farmers/advocates. 	<ul style="list-style-type: none"> ✓ Green Iowa AmeriCorps has weatherized 365 homes, conducted 250 education programs that reached over 17,000 people. 23,000 homes have been provided with energy efficiency advice/improvements and over 7,400 volunteers have been recruited since the program began in 2009. ✓ Since 1998, CEEE's Northern Iowa Food & Farm Partnership has facilitated purchase of \$12.5 million



Section 3. Overview of UNI's Economic Development Programs (continued)

Programs	Services	Those Typically Served	FY 2011 Results	Cumulative Results
			✓ In 2011, CEEE's waste reduction initiative reached 391 teachers, impacting roughly 7,500 students.	worth of meat and produce from hundreds of area farmers by food vending institutions.
Recycling and Reuse Technology Transfer Center (RRTTC)	Recycling and by-products research, environmental education and outreach.	Serving Iowa businesses, the recycling industry, University, K-12 schools and Iowa citizens.	<ul style="list-style-type: none"> ✓ Research project funding and outreach services related to recycling and reuse were provided to 48 companies and organizations. ✓ Outreach services provided to more than 10,455 individuals this year, including business/industry, K-12 students and teachers, and Iowa citizens. 	<ul style="list-style-type: none"> ✓ Over 43 RRTTC funded research projects. ✓ Over 170 reports and publications available.
Metal Castings Center (MCC) and Center for Advanced Biobased Foundry Binders (CABB)	Metal casting technologies, applied research, testing and training	Iowa casting users, foundries and foundry suppliers	<ul style="list-style-type: none"> ✓ Maintained active contracts with 24 companies, provided outreach projects to 6 Iowa foundries and technical assistance to 30 additional foundries. ✓ Sponsored research into bio-based foundry binders – 2 patents submitted. ✓ Sponsored commercialization of bio-based foundry binders. ✓ Assisted University of Iowa and Rock Island Arsenal in technology development 	<ul style="list-style-type: none"> ✓ Over 50 industry funded research projects have been completed to date.
Materials Innovation Service (MIS)	Mechanical, physical and chemical tests of metals, polymers and cementitious materials	Serving Iowa manufacturers and suppliers	<ul style="list-style-type: none"> ✓ Technical assistance and testing services provided to more than 160 individuals, primarily for products using recycled materials. ✓ Continued active testing contracts with five companies. 	<ul style="list-style-type: none"> ✓ More than 2,000 hours of testing provided since the beginning of the program.



Section 3. Overview of UNI's Economic Development Programs (continued)

Programs	Services	Those Typically Served	FY 2011 Results	Cumulative Results
Geoinformatics Training, Research, Education and Extension Center (GeoTREE)	Geospatial technologies, education, research, and outreach activities for federal, state, local and tribal agencies	Federal, state, local and tribal (FSLT) government agencies (NASA)	<ul style="list-style-type: none">✓ Worked with Iowa DNR and Iowa Department of Public Health to apply geospatial data for solving problems.✓ Worked with Cedar Falls Utilities on identifying areas most in need of energy conservation and efficiency assistance.✓ Worked with the City of Cedar Falls on watershed management.	<ul style="list-style-type: none">✓ GeoTREE has provided training to over 100 people and collaborated with multiple state and local agencies.



Section 4: Grow Iowa Values Funding Project

See attached spreadsheet highlighting outcomes from UNI's Grow Iowa Values Fund projects in 2011.

Section 5: Collaborative Projects

Entrepreneurship, Business Incubation and Technology Transfer

- **Regional Business Center (RBC), The Iowa Bankers Association, The Technology Association of Iowa, Renew Rural Iowa, Iowa Department of Economic Development, Iowa Area Development Group, the Community Vitality Center and multiple regional economic development groups**

In early FY11, the RBC and collaborative partners launched a statewide contest entitled Dream Big Grow Here, featuring \$1,000 monthly grants awarded online to emerging and existing Iowa small business owners who uploaded their 'dreams,' then encouraged friends, family and other business owners to vote for them. In response to the initial contest's popularity, a regional competition was initiated with additional service provider partners. This statewide team identifies regional economic development groups willing to host a \$5,000 regional Dream Big Grow Here Contest. All regional contest winners will be invited to participate in a statewide pitch-off party hosted via live video streaming this fall for a \$10,000 grand prize judged and awarded by the sponsorship team.

Waste Reduction, Environmental Assistance and the Bioeconomy

- **NABL Center and the U.S. Department of the Navy**
In FY11, the NABL Center began a long-term collaborative project with the US Department of the Navy, to evaluate current standardized testing metrics for biobased lubricants, and to develop appropriate biobased product specifications and testing methodologies which would assure biobased lubricant performance levels. The goal of this collaboration is to provide the US Navy with useful standards and guidelines for adopting biobased products in naval equipment and operations.
- **Metal Casting Center (MCC)- Center for Advanced Biobased Binders (CABB) and multiple Iowa firms**
The CABB program is continuing to refine and develop biobased foundry binders in an effort to replace current petrochemical urethane systems. The CABB program is currently working with several Iowa manufacturers including Deere & Company, ATEK Precision Castings, Clow Valves, Viking Pump Corp and Sivyer Steel castings in efforts to replace current adhesive systems with an environmentally friendly renewable source material. To date the center has developed several new technologies that will positively affect the foundry industry in Iowa.



- **Tallgrass Prairie Center, Cedar Falls Utilities and the Iowa Crop Improvement Association**

The Tallgrass Prairie Center (TPC) continues a relationship with Cedar Falls Utilities (CFU) to determine the maximum energy production potential from prairie biomass. CFU will burn the biomass in their stoker furnace to evaluate the materials. Unfortunately, the June 2008 flood has set the project back one year. Plots were replanted in 2009 and second year biomass data will be collected this fall. Test burn of biomass will be conducted in spring 2012. TPC continues working with the Iowa Crop Improvement Association to develop a consortium of native seed producers, native plant growers, nurseries, Iowa DNR, Iowa DOT, Iowa NRCS and private individuals to market native plants.

Local Economic Development

- **Institute for Decision Making (IDM) and Iowa Workforce Development (IWD)**

In the spring of 2011, IDM and IWD released the guide *Community Response Manual: A Guide to Reacting to Business Downturn*, providing actions and strategies for communities to prepare for, and respond to, mass layoffs and business-closing crises. These partners launched the concept and began pursuing funding for this manual several years ago, and through a recent investment from the U.S. Department of Labor, were able to complete this practical guide. The manual is designed to be a resource for local leaders to respond proactively. Though each local economy is unique, many of the actions and strategies needed in a layoff or crisis situation are similar and this manual attempts to highlight many of those actions and strategies in a practical and useable manner.

Advanced Manufacturing & Market Research

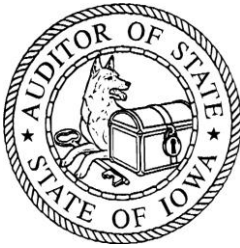
- **Strategic Marketing Services (SMS) and the North Central Iowa Alliance (NCIA)**

SMS partnered with NCIA to determine the amount of excess production capacity existing among a select group of businesses in the geographic region represented by the NCIA. The results of the study will be used to select four companies from those participating in the study for in-depth market research projects to be conducted by Strategic Marketing Services. Based on the responses received by 43 potential participants, SMS recommended eight companies for consideration as potential participants for a marketing research project. Of the eight companies recommended, four accepted the opportunity.

- **Metal Casting Center (MCC), Northern Illinois University, Quad Cities Manufacturing Laboratory and Rock Island Arsenal**

The MCC is currently collaborating with these partners to develop a center for excellence in titanium casting technologies. Projects include the development of advanced technology to replace heavy conventional castings with high-performance titanium castings. The resulting technology will be available to Rock Island Arsenal and also licensable by commercial companies throughout the Midwest.

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NEWS RELEASE

FOR RELEASE September 13, 2011

Contact: Andy Nielsen
515/281-5834

Auditor of State David A. Vaudt today released a report on the Iowa Department of Workforce Development for the year ended June 30, 2010.

The Iowa Department of Workforce Development is comprised of six divisions: Workers Compensation, Labor Services, Administrative Services, Labor Market and Workforce Information, Unemployment Insurance and Workforce Development Center Administration. The Department is responsible for administration of the statutes and regulations relating to unemployment compensation insurance, job placement and training, employment safety, labor standards and workers' compensation.

Vaudt recommended the Department develop procedures:

- (1) To ensure records supporting project costs are retained in compliance with federal requirements.
- (2) To continue to monitor the accuracy of employee work reports and ensure the payroll distribution variance reports are reconciled in total to the payroll costs charged to the Department in the State's accounting system and make adjustments as necessary.
- (3) To ensure audit reports for all subrecipients which expend \$500,000 or more of federal awards each year are formally reviewed in a timely manner, including appropriate follow-up.
- (4) To ensure information generated for financial reporting is properly tested and reviewed for accuracy.
- (5) To ensure the GAAP package is accurately completed.
- (6) To review capital asset policies and procedures to ensure a detailed, up-to-date capital asset listing is maintained.
- (7) To identify sensitive positions and ensure background investigations are performed as part of the hiring process.
- (8) To have each division prepare an initial listing of checks received, at least on a test basis, prior to forwarding the checks to financial management. Each division should then reconcile its initial listing to the deposits made on their behalf.
- (9) To ensure compliance with Department of Administrative Services Policy 240.102 for personal service contracts.
- (10) To ensure necessary steps are taken to comply with the Code of Iowa or seek the repeal of outdated Code sections.

The report also includes the Department's responses to the recommendations.

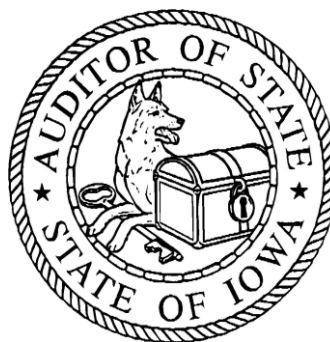
A copy of the report is available for review at the Iowa Department of Workforce Development, in the Office of Auditor of State and on the Auditor of State's web site at <http://auditor.iowa.gov/reports/1160-3090-BR00.pdf>.

**REPORT OF RECOMMENDATIONS TO THE
IOWA DEPARTMENT OF WORKFORCE DEVELOPMENT**

JUNE 30, 2010

— Office of —
**AUDITOR
OF STATE**

State Capitol Building • Des Moines, Iowa



**David A. Vaudt, CPA
Auditor of State**



OFFICE OF AUDITOR OF STATE
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September 7, 2011

To Teresa Wahlert, Director of the
Iowa Department of Workforce Development:

The Iowa Department of Workforce Development is a part of the State of Iowa and, as such, has been included in our audits of the State's Comprehensive Annual Financial Report (CAFR) and the State's Single Audit Report for the year ended June 30, 2010.

In conducting our audits, we became aware of certain aspects concerning the Department's operations for which we believe corrective action is necessary. As a result, we have developed recommendations which are reported on the following pages. We believe you should be aware of these recommendations, which include those reported in the State's Single Audit Report and the State's Report on Internal Control, as well as other recommendations pertaining to the Department's internal control and compliance with statutory requirements and other matters. These recommendations have been discussed with Department personnel and their responses to these recommendations are included in this report. While we have expressed our conclusions on the Department's responses, we did not audit the Iowa Department of Workforce Development's responses and, accordingly, we express no opinion on them.

This report, a public record by law, is intended solely for the information and use of the officials and employees of the Department, citizens of the State of Iowa and other parties to whom the Department may report. This report is not intended to be and should not be used by anyone other than these specified parties.

We would like to acknowledge the many courtesies and assistance extended to us by personnel of the Department during the course of our audits. Should you have questions concerning any of the above matters, we shall be pleased to discuss them with you at your convenience. Individuals who participated in our audits of the Department are listed on page 15 and they are available to discuss these matters with you.

A handwritten signature in black ink, reading "David A. Vaudt".

DAVID A. VAUDT, CPA
Auditor of State

A handwritten signature in black ink, reading "Warren G. Jenkins".

WARREN G. JENKINS, CPA
Chief Deputy Auditor of State

cc: Honorable Terry E. Branstad, Governor
David Roederer, Director, Department of Management
Glen P. Dickinson, Director, Legislative Services Agency

June 30, 2010

Findings Reported in the State's Single Audit Report:

CFDA Number: 17.225 – Unemployment Insurance

Agency Number: REEDACT03-13-2002

Federal Award Year: 2002

State of Iowa Single Audit Report Comment: 10-III-DOL-309-1

- (1) Record Retention – The Code of Federal Regulations, 29 CFR 97.42, requires supporting documentation for all expenditures be retained for three years after the final expenditure report. The Department is administering the Unemployment Insurance Tax Redesign Project, which is still in progress. During a review of expenditures, certain documentation supporting the selection of a contractor was not available or had not been consistently retained.

Recommendation – The Department should ensure records supporting the selection of contractors are retained in compliance with federal requirements.

Response and Corrective Action Planned – The Department was made aware of this during the previous audit period and understands the Reed Act records must be maintained for three years after final expenditures. That has been corrected. The documents in question relate back to the same time period as was the issue during the last audit cycle. Therefore, we cannot undo the error that occurred previously and can only ensure all records related to this project from the past four years have been maintained and we will continue to hold all of those records until three years after the final costs are incurred.

Conclusion – Response accepted.

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CFDA Number: 17.225 – Unemployment Insurance and ARRA – Unemployment Insurance

Agency Number: REEDACT03-13-2002, UI1512TM0, UI15798XF0, UI80205I, UI180204P0, UI180206T0, UI180208C0, UI180209M0, UI180209S0, UI195829R0, UI19582CR0, UI195829Y0, UI180208U0, UI195829S0

Federal Award Year: 2002, 2006, 2009, 2010

CFDA Number: 17.258 – WIA Adult Program and ARRA – WIA Adult Program

Agency Number: AA171213Y0, AA171215J0, AA186406X0, AA186408D0

Federal Award Year: 2009, 2010

CFDA Number: 17.259 – WIA Youth Activities and ARRA – WIA Youth Activities

Agency Number: AA171212F0, AA171215L0, AA186406E0, AA20194AF

Federal Award Year: 2008, 2009, 2010

CFDA Number: 17.260 – WIA Dislocated Workers and ARRA – WIA Dislocated Workers

Agency Number: EM15779VP0, EM160963H0, EM16941YW0, EM17062YW0, EM17458ZW0, EM174774F0, EM174777S0, EM17477ZW0, EM176713H0, EM176773H0, EM180774F0, EM189846B0, EM192996B0, EM193026B0, EM193036B0, EM194546B0, EM200287S0, EM206607S1, MI17526, AA171214A0, AA171215P0, AA186406Z0, AA186408F0

Federal Award Year: 2006, 2007, 2008, 2009, 2010

CFDA Number: 93.558 – Temporary Assistance for Needy Families

Agency Number: 0902IATANF, 1002IATANF

Federal Award Year: 2009, 2010

State of Iowa Single Audit Report Comments: 10-III-DOL-309-2 and 10-III-HHS-309-4

- (2) Payroll Distribution Adjustments – OMB Circular A-87 requires the amounts charged to federal awards for salaries and wages, regardless of whether treated as direct or indirect, to be based on documented payrolls. Payrolls must be supported by time and attendance records for individual employees. Since the payroll system is limited to the extent distributions can be made and is based upon predetermined distributions, the Department utilizes a payroll distribution variance report generated by the Iowa Department of Administrative Services – Information Technology Enterprise at the end of each payroll period. The report compares payroll as distributed on the State's payroll system to payroll distributed per each employee's work report. The budget analysts then review the variances and make any necessary adjustments to properly distribute payroll.

Report of Recommendations to the Iowa Department of Workforce Development

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The Iowa Department of Administrative Services' computer program creating the report had not been updated to account for the fourth digit in the field to the left of the decimal (\$1,000's), which was necessary due to the rising cost of health insurance. The state share of health insurance is paid on a monthly basis and, on a limited basis, the adjustments made for those pay periods were effected. Those adjustments provided by the payroll distribution variance report, affecting the distributions to various state and federal programs, were not accurate. The Department had not adequately reconciled the information from the payroll distribution reports with corresponding information recorded in the State's accounting system.

Recommendation – The Department should continue to monitor the accuracy of employee work reports and ensure the payroll distribution variance reports are reconciled in total to the payroll costs charged to the Department in the State's accounting system and make adjustments as necessary.

Response and Corrective Action Planned – When the Variance Report was first established several years ago, the Department tested the accuracy of the program against the actual payroll costs that were incurred. This was done for several pay periods, until we were confident that the program was working properly. It came to our attention recently, that the program has stopped reporting health insurance costs accurately and the Department of Administrative Services (DAS) was contacted to have them determine why their Variance Report program was no longer working accurately. It was determined by DAS that a programming error on health insurance benefits was causing the problem.

The program has been tested since the correction and appears to be operating accurately again. The Department will continue to test the program for accuracy until we are again, confident that it is working correctly. At which point, the Department will begin randomly testing the accuracy of the report to ensure that it continues to perform as expected.

Conclusion – Response accepted.

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CFDA Number: 17.258 – WIA Adult Program and ARRA – WIA Adult Program
Agency Number: AA171213Y0, AA171215J0, AA186406X0, AA186408D0
Federal Award Year: 2009, 2010

CFDA Number: 17.259 – WIA Youth Activities and ARRA – WIA Youth Activities
Agency Number: AA171212F0, AA171215L0, AA186406E0, AA20194AF
Federal Award Year: 2008, 2009, 2010

CFDA Number: 17.260 – WIA Dislocated Workers and ARRA – WIA Dislocated Workers
Agency Number: EM15779VPO, EM160963H0, EM16941YW0, EM17062YW0,
EM17458ZW0, EM174774F0, EM174777S0, EM17477ZW0,
EM176713H0, EM176773H0, EM180774F0, EM189846B0,
EM192996B0, EM193026B0, EM193036B0, EM194546B0,
EM200287S0, EM206607S1, MI17526, AA171214A0, AA171215P0,
AA186406Z0, AA186408F0
Federal Award Year: 2006, 2007, 2008, 2009, 2010

CFDA Number: 93.558 – Temporary Assistance for Needy Families
Agency Number: 0902IATANF, 1002IATANF
Federal Award Year: 2009, 2010

State of Iowa Single Audit Report Comments: 10-III-DOL-309-3 and 10-III-HHS-309-5

- (3) Monitoring of Subrecipient Audit Reports – OMB Circular A-133 requires the Department to ensure required audit reports of subrecipients expending \$500,000 or more in federal awards are completed within nine months of the subrecipient's fiscal year end, issue a management decision on audit findings within six months of the receipt of the subrecipient's audit report and ensure the subrecipient takes timely and appropriate corrective action on all findings.

Nine of seventeen fiscal year 2009 subrecipient audit report reviews tested did not contain a management decision letter issued within six months of the date of the Department's receipt of the subrecipient's audit report. Of the nine, two still have not been issued.

Recommendation – The Department should ensure audit reports for all subrecipients which expend \$500,000 or more in federal awards each year are formally reviewed in a timely manner, including appropriate follow-up. The Department should also consider cross-training employees to perform subrecipient desk reviews of audit reports during staff turnover and leave.

Response and Corrective Action Planned – Because of transfers and early retirements, the Department's financial management has been short staffed for the past couple of years. In fact, IWD Financial is still short two staff at this time. Once we have all staff on board, a back-up can be assigned to ensure that the reports are completed on time. The individual that reviews the audits has been assisting the bureau with not only her own duties but assisting with the duties of the positions that are currently vacant.

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However, we did review all audits as they were received to determine if any significant findings were in any reports that needed immediate action. None of the reports in question had significant non-compliance issues that may have resulted in the disallowance of any costs. What IWD Financial did not do was ensure that, although the findings were minimal and did not include any possible debt collection, that a final determination of such was issued within the allowed timeframes.

The individual that is responsible for reviewing the reports has been instructed to maintain a file of all audits in the resolution process and the status of each review. This will be reviewed periodically by the Bureau Chief of Financial Management to determine if the audits will be resolved within the time frames required. The log will be initialed by the Bureau Chief as evidence of the review. Corrective action will be taken by the Bureau Chief if it appears that an audit has the potential to miss the deadlines. This corrective action may include the reassignment of the audit resolution to other staff or being completed by the Bureau Chief. The Department has five individuals in Financial Management that are qualified to review and resolve audit findings. Therefore, a reassignment can be done if necessary.

Conclusion - Response accepted.

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Findings Reported in the State's Report on Internal Control:

- (1) Unemployment Trust Fund Receivables – To comply with governmental accounting and financial reporting standards for the Unemployment Benefits Fund, the Iowa Department of Workforce Development (IWD) has established a ledger system to track employer unemployment insurance contributions based on quarterly employer payroll reports. The system generates information regarding the running balance of employer contributions receivable and delinquent accounts for financial reporting purposes. This activity is reported to the Iowa Department of Administrative Services–State Accounting Enterprise (DAS–SAE) on a GAAP package.
 - (a) The employer contributions receivable as reported on the GAAP package was understated by \$60,065,596. The Department reported the same amount for the current year as was reported for June 30 of the prior year. This was properly adjusted for reporting purposes.
 - (b) The amount reported for accounts receivable on the GAAP package was not adjusted for write-offs of uncollectible employer contributions. Write-offs of uncollectible accounts are historically accounted for in June of each fiscal year. However, for fiscal year 2010, write-offs were not accounted for due to problems encountered in the transition to a new receivable system module.

Recommendation – The Department should ensure information generated for financial reporting is properly reviewed for accuracy. In addition, the Department should continue working towards completing implementation of the receivable system module with proper testing for accuracy.

Response – It is the intent of the new system to not only provide timely information, but more accurate information in regards to on-going business decisions, account collections and preparing the annual GAAP package. Improvements in all those functions, including a review for accuracy, should be seen when IWD prepares the GAAP package for fiscal year 2011.

Conclusion – Response accepted.

- (2) Financial Reporting – The Department records receipts and disbursements on the Integrated Information for Iowa (I/3) system throughout the year, including the accrual period. Activity not recorded on the I/3 system is reported to DAS–SAE on a GAAP package. The GAAP package is to be submitted to DAS–SAE by the first week of September each year. The following were noted:
 - (a) The unearned revenue page of the GAAP package captures information on unearned revenues carried forward on the State accounting system to the next fiscal year, unearned revenue not carried forward and revenue carried forward not meeting the definition of unearned revenue. Journal entries are prepared for each section reported.
 - (1) Unearned revenue not carried forward was understated by \$614,403.
 - (2) Unearned revenue carried forward was understated by \$1,828,681.
 - (3) Revenue carried forward not meeting the definition of unearned revenue was understated by \$6,171,910.

These were properly adjusted for reporting purposes.

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- (b) The Trade Readjustment Assistance benefits payable was omitted from the GAAP package, resulting in a \$90,789 understatement of accounts payable. This was properly adjusted for reporting purposes.
- (c) The Combined Wage Claims Payable to Other States was understated by \$1,109,551. This was properly adjusted for reporting purposes.
- (d) The schedule of future minimum operating lease payments was understated by \$155,590 for the applicable property tax adjustment. This was properly adjusted for reporting purposes.
- (e) There were other GAAP package pages with immaterial errors noted.

Recommendation – The Department should ensure the GAAP package information reported is complete and accurate.

Response – IWD understands the importance of completing the GAAP package as accurately as possible and to that end, we have assigned the coordination and review of the GAAP package to an individual within IWD with both auditing and accounting expertise, who will ensure we have completed all necessary components and it is the best and most accurate information we have available at the time the report is due. Coordination is essential as is a pre-audit of that information.

Conclusion – Response accepted.

- (3) Capital Assets – Chapter 7A.30 of the Code of Iowa requires each department of the state to maintain a written, detailed and up-to-date inventory of property under its charge and control. The following were noted:
 - (a) Four of fifteen capital assets selected from the listing could not be located. Also, one of the eleven capital assets observed did not have a State property tag affixed to it.
 - (b) Four of ten capital assets selected for observation could not be traced to the capital asset listing. Also, two expenditures for items with a value of over \$5,000 each could not be traced to the capital asset listing.
 - (c) Thirteen of fifteen capital asset deletions tested lacked evidence of approval prior to deletion.
 - (d) Capital assets were tested as a part of field office visits. The following were noted:
 - (1) Two of five capital assets selected for existence testing at the Burlington field office could not be located.
 - (2) Manager approvals for capital asset deletions were not retained at the Davenport field office.
 - (e) Intangible assets of \$3,591,638 for the unemployment insurance tax system redesign were not initially reported on the GAAP package. This was properly adjusted for reporting purposes.

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Recommendation – The Department should review capital asset policies and procedures to ensure a detailed, up-to-date capital asset listing is maintained. This includes ensuring all assets are properly accounted for, included on the capital asset listing and tagged with a State property tag. In addition, approval prior to the deletion of items from the capital asset listing should be obtained and retained.

Response – The individual assigned to maintain and oversee inventory control has not had sufficient time to do justice to this aspect of financial management. Therefore, the duties involved have been placed with an Accountant 2 within the bureau and duties were restructured to allow time to analyze the inventory and make necessary inquiries. At that same time, inventory control needs to be stressed to each individual manager responsible for segments of inventory. The importance of which will be stressed to those managers through written communication on an annual basis and via periodic meetings held with local managers.

Conclusion – Response accepted.

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Other Findings Related to Internal Control:

- (1) Background Investigations – The Department hires employees for various positions, including positions which are sensitive in nature, such as information technology staff, individuals with access to cash, etc. Background investigations are not done as part of the employee hiring process.

Recommendation – The Department should develop procedures to identify sensitive positions and ensure background investigations are performed as part of the hiring process.

Response – IWD has taken steps to ensure background checks are conducted on the appropriate staff. We will establish written policies which identify what positions are subject to that investigation.

Conclusion – Response accepted.

- (2) Initial Listing of Receipts – Divisions within the Department receive payment for various fines and fees. Each division opens mail and forwards checks received to financial management for processing. Currently, individuals in the various divisions who open the mail do not prepare an initial listing of receipts for comparison to the amounts deposited.

Recommendation – The Department should develop procedures to ensure the individuals opening the mail for each division prepare an initial listing of checks received prior to forwarding the checks to financial management. The initial listing should be reconciled to the deposits.

Response – The Worker's Compensation, Labor Commission and the Labor Market Information Division represent over 90% of the checks that come into IWD. Financial Management will work with them to ensure they have set up procedures for logging and reconciling amounts deposited.

Conclusion – Response accepted.

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Findings Related to Statutory Requirements and Other Matters:

- (1) Personal Service Contracts – Iowa Department of Administrative Services Policy 240.102 provides general guidelines to be used by departments when entering into personal service contracts. The required procedures include obtaining a signed contract prior to the performance of the contracted services. The following were noted:
 - (a) Fourteen of the twenty-five contracts tested were not signed by all parties prior to the contracted service starting date.
 - (b) Five pre-contract questionnaires (PCQ) were not dated to evidence proper completion prior to signing the contract.

Recommendation – The Department should ensure compliance with policies and procedures for personal service contracts established by the Iowa Department of Administrative Services.

Response – There will always be situations where emergency services to Iowans dictates immediate action be taken and a contract will follow. However, IWD does understand the number of situations found by the auditors is excessive. Action will be taken to ensure services do not begin until a contract is signed. In the event of an emergency, a letter of intent to contract will be signed by the Director prior to beginning such projects. That letter will identify a minimum of: the starting/ending date; what services are to be provided; what rules or regulations apply; what amount is being contracted; and a fully executed agreement will be signed by both parties within 30 days of the issuance of the letter of intent. Otherwise, the agreement will expire after 30 days. In addition, IWD will ensure all documents related to a contractual agreement are both signed and dated.

Conclusion – Response accepted.

- (2) Iowa Code Compliance – The following compliance items were noted for fiscal year 2010:
 - (a) Iowa Conservation Corps – Chapter 84A.7 of the Code of Iowa establishes the Iowa conservation corps to provide meaningful and productive public service jobs for youth, unemployed persons, persons with disabilities, disadvantaged persons and elderly persons and to provide participants with an opportunity to explore careers, gain work experience and contribute to the general welfare of their communities and state. The Department is to administer the corps and the Iowa conservation corps account.

This program and the account are currently inactive.
 - (b) Statewide Mentoring Program – Chapter 84A.9 of the Code of Iowa states the Department shall establish and administer, in collaboration with the Departments of Human Services, Education and Human Rights, a statewide mentoring program to recruit, screen, train and match individuals in a mentoring relationship.

This program is currently inactive.

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- (c) New Employment Opportunity Program – Chapter 84A.10 of the Code of Iowa states the Department shall implement and administer a new employment opportunity program to assist individuals in under-utilized segments of Iowa's workforce, including, but not limited to, persons with physical or mental disabilities, persons convicted of a crime or minority persons between the ages of twelve and twenty-five, to gain and retain employment.

This program is currently inactive.

Recommendation – The Department should take the necessary steps to ensure compliance with the Code of Iowa or the Department should seek the repeal of outdated Code sections.

Response – IWD will provide this information to the General Assembly during the 2012 legislative session.

Conclusion – Response accepted.

Report of Recommendations to the Iowa Department of Workforce Development

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Staff:

Questions or requests for further assistance should be directed to:

Ronald D. Swanson, CPA, Manager
Brian R. Brustkern, CPA, Senior Auditor II
Andrew E. Nielsen, CPA, Deputy Auditor of State

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